Oracle Financial Services
FATCA Regulatory Reporting
User Guide

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FATCA Regulatory Reporting
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Oracle Financial Services Software, Inc.
1900 Oracle Way
Reston, VA 20190

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Oracle Financial Services Software, Inc.
1900 Oracle Way
Reston, VA 20190
Phone: (703) 478-9000
Fax: (703) 318-6340
Internet: www.oracle.com/financialservices

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About this Guide

The *OFS FATCA Regulatory Reporting User Guide* explains the concepts behind OFS FATCA Regulatory Reporting application and provides step-by-step instructions for navigating through the application.

This chapter discusses the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in this Guide

Who Should Use this Guide

The *OFS FATCA Regulatory Reporting User Guide* is designed for use by various users. Their roles and responsibilities, as they operate within the OFS FATCA Regulatory Reporting application, include the following:

- **FATCA RR Analyst**: This user can create new reports, edit report details, add comments to the report, request reports for approval, and also cancel filing of reports from open and reopen status.
- **FATCA RR Supervisor**: This user can create new reports, edit report details, approve reports, request for cancellation, add comments, rework on reports, cancel filing of reports, view final report, mark reports as submitted, reopen cancelled reports, and reopen submitted reports.
- **FATCA RR Auditor**: This user can view reports and add comments to the report.
- **FATCA RR Admin**: This user is responsible for mapping security attributes to the users.

How this Guide is Organized

The *OFS FATCA Regulatory Reporting User Guide,* includes the following topics:

- Chapter 1, *Overview of FCCM* provides an overview of Oracle Mantas Financial Crimes and Compliance Management, how it works, and what it does.
- Chapter 2, *About OFS FATCA Regulatory Reporting*, provides an overview of the OFS FATCA Regulatory Reporting application.
- Chapter 3, *Getting Started*, explains the steps to login to the OFS FATCA Regulatory Reporting application and provides a brief overview of the various users and their roles in the application.
- Chapter 4, *Managing OFS FATCA Regulatory Reporting*, explains the workflow of FATCA reports.

Where to Find More Information

For additional information about OFS FATCA Regulatory Reporting, refer to the following documents:

- *OFS FATCA Administration and Configuration Guide*
- *OFS FATCA RR Administration and Configuration Guide*

These documents can be found at the following link:

http://docs.oracle.com/cd/E60570_01/homepage.htm

To find additional information about how Oracle Financial Services solves real business problems, see our website at www.oracle.com/financialservices.

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
Italics	● Names of books, chapters, and sections as references ● Emphasis
Bold	● Object of an action (menu names, field names, options, button names) in a step-by-step procedure ● Commands typed at a prompt ● User input
`Monospace`	● Directories and subdirectories ● File names and extensions ● Process names ● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text

Table 1. Conventions Used in this Guide (Continued)

Convention	Meaning
<Variable>	Substitute input value
Asterisk*	Indicates mandatory fields in the UI

CHAPTER 1

Overview of FCCM

This chapter describes Oracle Financial Services Financial Crimes and Compliance Management (FCCM) applications, how they are used by financial institutions and what a typical workflow would be. It contains the following sections:

- About Financial Crimes and Compliance Management
- Functions
- Workflow

About Financial Crimes and Compliance Management

In today's complex banking environment, there are many different factors that financial institutions must address to deter crime, safeguard their reputation, increase efficiency, minimize risk, and comply with regulatory agencies. Oracle Financial Services Financial Crime and Compliance Management (FCCM) provides automated, comprehensive, and consistent surveillance of all accounts, customers, correspondents, and third parties in transactions, trades, orders across all business lines. The solution allows organizations such as banks, brokerage firms, and insurance companies to monitor customer transactions daily, using customer historical information and account profiles to provide a holistic view of all transactions, trades, orders and other activities. It also allows organizations to comply with national and international regulatory mandates using an enhanced level of internal controls and governance. FCCM is a common platform that supports the following OFSAA products:

- **Anti-Money Laundering Enterprise Edition (AML EE)** monitors transactions to identify possible money-laundering activities. These scenarios consider whether the geographical location or entities involved warrant enhanced scrutiny; monitor activity between accounts, customers, correspondents, and other entities to reveal relationships that could indicate efforts to launder funds; address sudden, significant changes in transaction activity that could indicate money laundering or fraud; and detect other types of activities that are considered potentially suspicious or indicative of money laundering.
  For example, the Journals Between Unrelated Accounts scenario detects accounts that conduct journal transactions, within a specified period, to one or more accounts that do not share tax identifiers, do not share a customer, are not in the same household, and are not known to have a formal relationship. This behavior might indicate that money launderers have established a number of accounts using aliases or slightly different identifying information, and then moving money between accounts as part of a layering strategy, often consolidating the funds in a single account before removing them from the institution.
- **Know Your Customer (KYC)** assesses the risk associated with a customer by considering different attributes of the customer and enables financial institutions to perform Due Diligence, Enhanced Due Diligence, and continuous monitoring of customers. Cases generated in Know Your Customer can be managed within Enterprise Case Management to track investigations until they have been resolved or reported to the appropriate regulatory authorities.
- **Enterprise Fraud Management (EFM)** detects behaviors and patterns that evolve over time and are indicative of sophisticated, complex fraud activity. These scenarios monitor check and deposit / withdrawal activity, electronic payments, such as funds transfer and payments completed through clearing house (ACH) mechanisms, and ATM and Bank Card to identify patterns of activities that could be indicate fraud, counterfeiting or kiting schemes, identity theft or account takeover schemes. Fraud scenarios also monitor

employee transactions to identify situations in which employees, acting as insiders, take advantage of access to proprietary customer and account information to defraud the financial institution's customers.
For example, the Excessive Withdrawals at Multiple Locations scenario monitors a sudden increase in a customer's withdrawals at ATMs that may indicate money laundering, terrorist financing, or an account takeover.

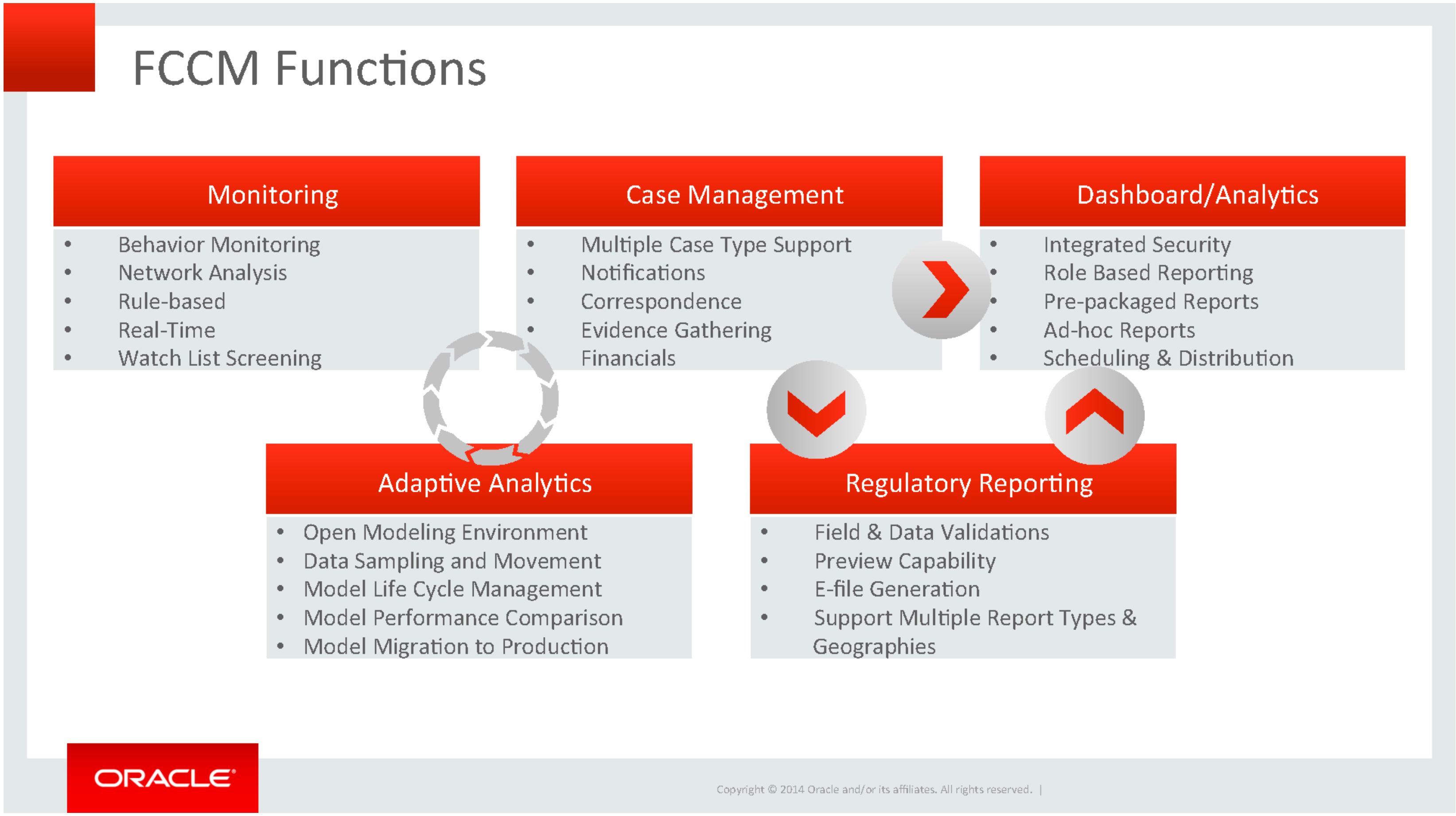
- **Oracle Financial Services Currency Transaction Reporting (CTR)** analyzes transaction data from the organization and identifies any suspicious activities within the institution that may lead to fraud or money laundering and must be reported to the regulatory authorities. Currency Transaction Reports (CTRs) are created either at the branches or through the end of day files, where the CTR application aggregates multiple transactions performed at the branch, ATMs and Vaults. Oracle Financial Services Currency Transaction Reporting then helps the organization file the CTR online with the U.S. Financial Crimes Enforcement Network (FinCEN) using a discreet form or uploaded in a batch form in a specific text file format.
  Unlike alerts for other Oracle Financial Services Behavior Detection products such as Anti-Money Laundering, Fraud, Trading Compliance, Broker Compliance, or Energy and Commodity Trading Compliance which appear in an Alert Management user interface, CTR alerts are automatically processed and converted into CTR reports or Monetary Instrument Log reports which can be worked through the CTR user interface.
  For example, the Bank Secrecy Act Currency Transaction Report scenario detects activity meeting the requirements for filing a Bank Secrecy Act Currency Transaction Report (CTR) and reconciles alerts generated by this scenario which are considered batch CTRs with Branch CTRs. The resulting CTRs are prepared for electronic filing in accordance with FinCEN's BSA Electronic Filing Requirements for Bank Secrecy Act Currency Transaction Report (BSA CTR).
- **Foreign Account Tax Compliance Act (FATCA) Management** allows financial institutions to comply with FATCA regulations from the Internal Revenue Service and the US Treasury Department which prevent US taxpayers who hold financial assets in non-US financial institutions and other offshore vehicles from avoiding their US tax obligations. The FATCA Management solution integrates with Enterprise Case Management to track investigations until they have been resolved or reported to the appropriate regulatory authorities.
- **Trading Compliance (TC)** examines prices and timing of orders and executions by comparing them to market conditions and detect behaviors or situations that violate exchange, market center, and individual broker or dealer policies and procedures, including behaviors that violate the Chinese Wall policies and procedures established by the Firm or those with confidential information held by the Firm about a security.
  For example, the Trading Ahead of Material Events scenario detects possible insider trading by analyzing trades which occur prior to "events", which can be defined by the Oracle client. The type and volume of trades which occur prior to an event may indicate that an employee, customer, trader, or trading desk was in possession of material non-public information. As there may also be non-fraudulent reasons for this trading activity, this scenario minimizes false alerts by excluding accepted hedging or trading strategies.
- **Oracle Financial Services Personal Trading Approval** monitors employee investment accounts and trades. Employees of the financial institution submit trade requests to be made from their approved investment accounts. Compliance officers can then review, approve, or reject the trade requests to ensure that their employees are acting in compliance with regulations. Financial institutions can also use this solution to maintain employee attestations.
- **Trade Blotter (TB)** allows trades to be viewed and reviewed, primarily for suitability issues within the wealth management sector, by compliance analysts an or business supervisors after a trade has been executed. The Trade Blotter is a list of trades returned after a search based on specified criteria. Users can view trade details,

view related trade documents, enter a comment on a specific trade, and then mark the trade as reviewed or requiring follow-up.

- **Broker Compliance (BC)** identifies activities or situations in customer accounts that involve either a significant amount of risk-and therefore may be unsuitable for the customer-or may violate trading rules set by the exchanges or regulators; trades in mutual fund securities that may violate regulatory trading guidelines, Commission policies, or are unsuitable for a particular customer; and activities performed by employees that may violate regulatory conduct rules or may be prohibited by firm policies. These scenarios also detect instances in which an investment advisor may be managing client accounts in a manner that is unsuitable for their customers, giving preferential treatment to particular customers, or manipulating transactions between accounts; and instances in which a portfolio manager may be placing orders on material, non-public information, misrepresenting portfolio performance, or unfairly allocating orders to accounts they manage. For example, the Reps Concentrating Solicitations in Too Few Securities scenario verifies that Registered Representatives are not exposing their clients to undue risk by recommending a significant percentage of buy solicitations in a single security, which can result in an unbalanced and volatile portfolio.
- **Energy and Commodity Trading Compliance (ECTC)** monitors trading activities that involve the financial institution as the buyer or seller on energy and commodity related trades, including commodities, options, futures, and swaps.
  For example, the Energy Trading Limits scenario monitors trading of energy instruments to detect excessive hourly amounts of energy traded, based on internal limits which consider physical and financial power as well as Financial Transmission Rights (FTR). The scenario generates alerts when the amount of energy approaches or exceeds these internal limits. This behavior may indicate an attempt to manipulate the market by knowingly creating congestion with the purpose of benefiting from the creation of that congestion.
- **Enterprise Case Management (ECM)** manages and tracks the investigation and resolution of cases related to one or more business entities involved in potentially suspicious behavior. Cases can be manually created within Enterprise Case Management or your firm may integrate other Oracle Financial Services solutions, such as Alert Management, Know Your Customer, and FATCA Management, which can be used to create cases.
- **Regulatory Reporting** supports the management, delivery, and resolution of required regulatory reports across multiple geographic regions and financial lines of business. Organizations are required to analyze and report any suspicious activities that may lead to fraud or money laundering within the institution to regulatory authorities.

Functions

The following figure depicts the functionality of Oracle Financial Services Financial Crimes and Compliance Management.



FCCM Functions

Monitoring

- Behavior Monitoring
- Network Analysis
- Rule-based
- Real-Time
- Watch List Screening

Case Management

- Multiple Case Type Support
- Notifications
- Correspondence
- Evidence Gathering
- Financials

Dashboard/Analytics

- Integrated Security
- Role Based Reporting
- Pre-packaged Reports
- Ad-hoc Reports
- Scheduling & Distribution

Adaptive Analytics

- Open Modeling Environment
- Data Sampling and Movement
- Model Life Cycle Management
- Model Performance Comparison
- Model Migration to Production

Regulatory Reporting

- Field & Data Validations
- Preview Capability
- E-file Generation
- Support Multiple Report Types & Geographies

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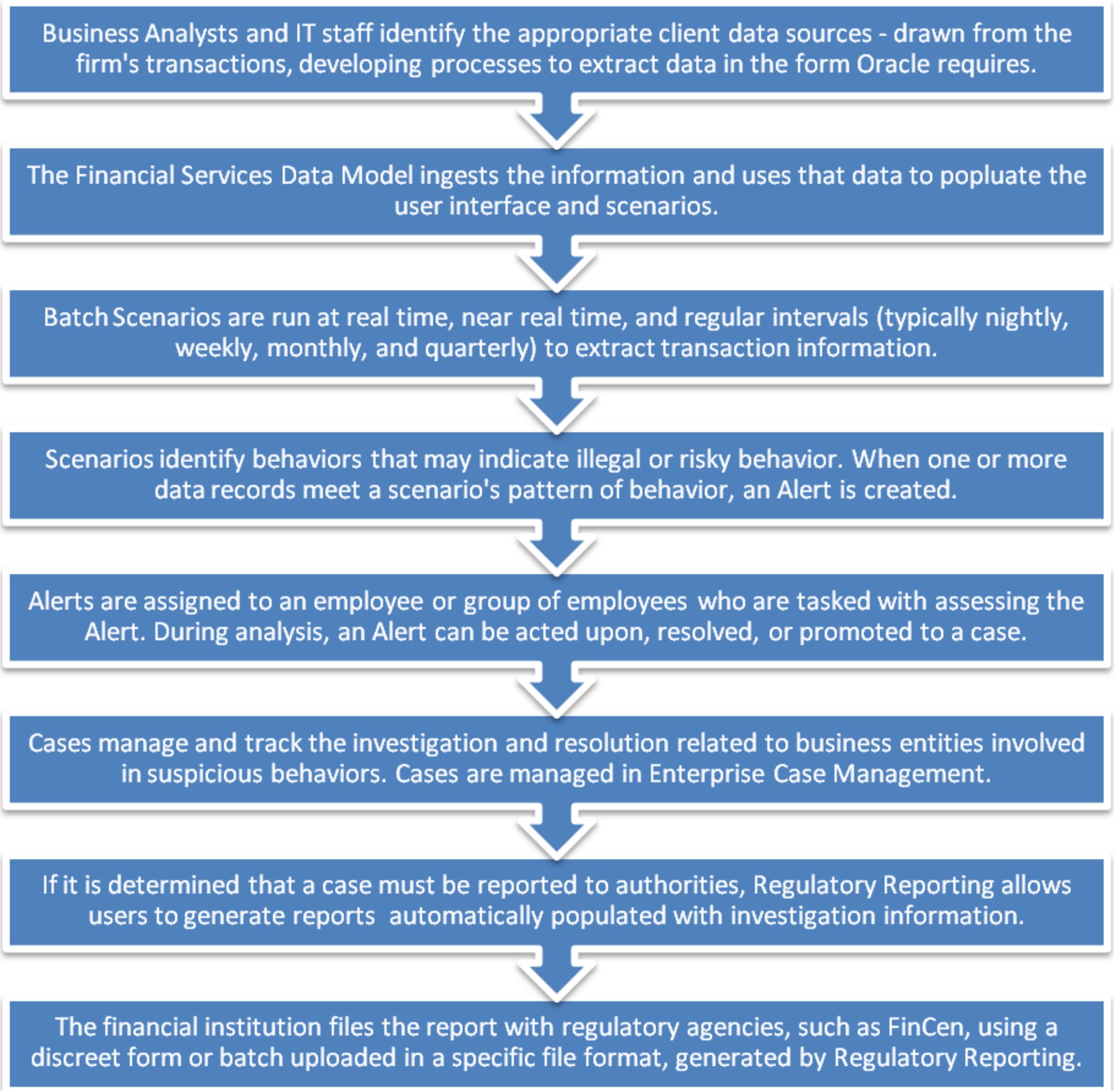
Workflow

Oracle Financial Services Financial Crimes and Compliance Management applications integrate fully - creating a complete workflow to address a financial institution's compliance needs. The following figure shows this process.



Business Analysts and IT staff identify the appropriate client data sources - drawn from the firm's transactions, developing processes to extract data in the form Oracle requires.

The Financial Services Data Model ingests the information and uses that data to popluate the user interface and scenarios.

Batch Scenarios are run at real time, near real time, and regular intervals (typically nightly, weekly, monthly, and quarterly) to extract transaction information.

Scenarios identify behaviors that may indicate illegal or risky behavior. When one or more data records meet a scenario's pattern of behavior, an Alert is created.

Alerts are assigned to an employee or group of employees who are tasked with assessing the Alert. During analysis, an Alert can be acted upon, resolved, or promoted to a case.

Cases manage and track the investigation and resolution related to business entities involved in suspicious behaviors. Cases are managed in Enterprise Case Management.

If it is determined that a case must be reported to authorities, Regulatory Reporting allows users to generate reports automatically populated with investigation information.

The financial institution files the report with regulatory agencies, such as FinCen, using a discreet form or batch uploaded in a specific file format, generated by Regulatory Reporting.

Detailed information about these processes is available in the user documentation.

CHAPTER 2

About OFS FATCA Regulatory Reporting

This chapter provides an overview of the OFS FATCA Regulatory Reporting application.

Introduction to OFS FATCA Regulatory Reporting

The Foreign Account Tax Compliance Act (FATCA) is an important development in the United States, that aims to combat tax evasion by US persons holding accounts and other financial assets in other countries. Under FATCA, certain US taxpayers holding financial assets outside the United States must report those assets to the Internal Revenue Service (IRS).

FATCA also requires certain foreign financial institutions to report directly to the IRS information about financial accounts held by US taxpayers or by foreign entities in which US taxpayers hold a substantial ownership interest. The reporting institutions include not only banks, but also other financial institutions, such as investment entities, brokers, and certain insurance companies.

The OFS FATCA Regulatory Reporting application focuses on reporting:

- By US taxpayers about certain foreign financial accounts and offshore assets
- By foreign financial institutions about financial accounts held by US taxpayers or foreign entities in which US taxpayers hold substantial ownership interest

FATCA reports are of two types, namely, Individual reports and Pooled reports.

- **Individual Reports**: Individual Reports are used for reporting specific account holder information.
- **Pooled Reports**: Pooled Reports are used for reporting on an aggregate basis in a reporting pool rather than reporting specific account holder information.

The OFS FATCA Regulatory Reporting helps generate FATCA reports as per Form 8966 provided by the IRS. For more information on the workflow of FATCA reports, refer to *OFS FATCA Regulatory Reporting Workflow.*

CHAPTER 3

Getting Started

This section explains the steps to login to OFS FATCA Regulatory Reporting and provides a brief overview of the various users and their roles within the application.

This chapter explains the following topics:

- User Roles
- User Access
- Accessing OFSAA Applications
- Managing the OFSAA Application Page
- Troubleshooting Your Display

User Roles

The following user roles are defined in OFS FATCA Regulatory Reporting:

- FATCA RR Analyst
- FATCA RR Supervisor
- FATCA RR Auditor
- FATCA RR Admin

Note: If OFS FATCA Regulatory Reporting is integrated with OFS FCCM, then you can map the FATCA admin role to the ECM admin role.

User Access

The following table explains the tasks that can be performed by various users in OFS FATCA Regulatory Reporting.

Table 2. User Roles and Actions

Function	Roles			
	FATCA RR Analyst	**FATCA RR Supervisor**	**FATCA RR Auditor**	**FATCA RR Admin**
View FATCA reports	X	X	X	
Create New Report	X	X		
Request Reports for Approval	X			
Approve Reports		X		
Rework on Reports		X		
Cancel Filing of Reports from Open and Reopen Status	X	X		
Cancel Filing of Reports from Requested for Approval and Approved Status		X		
Add Comments	X	X	X	
View/Save Final Report	X	X	X	
Submit Approved Reports	X	X		
Mark Reports as Submitted	X	X		
Reopen Cancelled Reports	X	X		
Reopen Submitted Reports	X	X		
Set Security Attributes				X

Accessing OFSAA Applications

Access to the Mantas Alert Management application depends on the Internet or Intranet environment. Mantas Alert Management is accessed through Microsoft Internet Explorer (IE). Your system administrator provides the intranet address uniform resource locator (URL).

Your system administrator provides you with a user ID and password. Login to the application through the Login page. You will be prompted to change your password on your first login. You can change your password whenever required by logging in. (Refer to *Change Password*, on page 17 for more information.)

Your password is case sensitive. If you have problems with the password, verify that the **Caps Lock** key is off. If the problem persists, contact your system administrator.

To access OFSAA Applications, follow these steps:

1. Enter the URL into your browser using the following format:

   `<scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/login.jsp`

   For example: https://myserver:9080/ofsaaapp/login.jsp

   The OFSAA Login page is displayed.

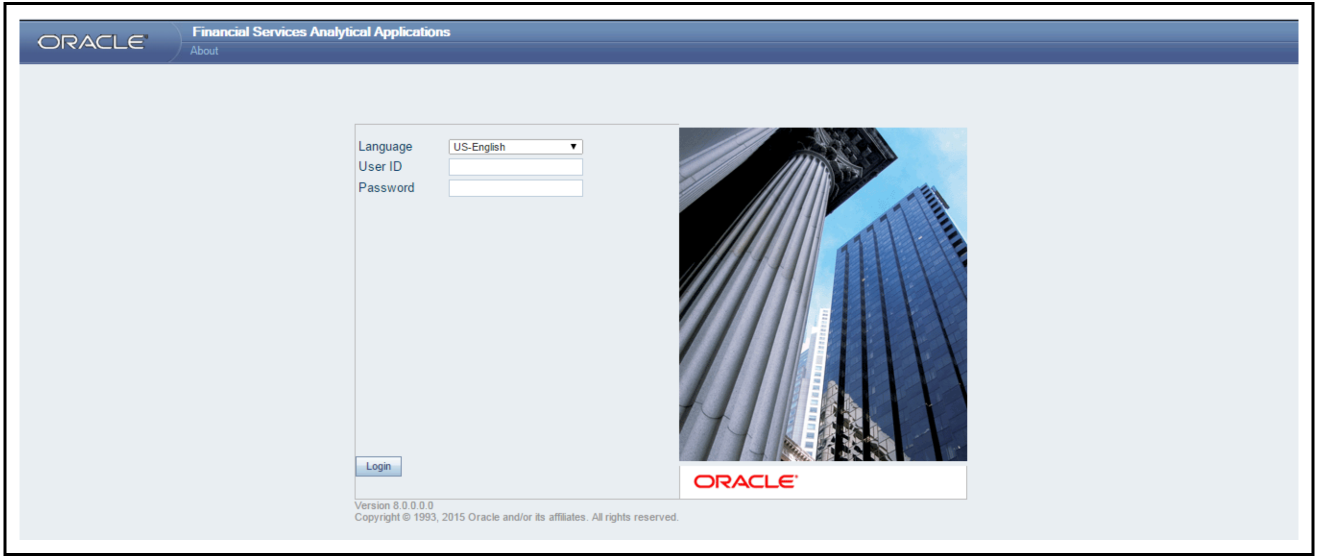


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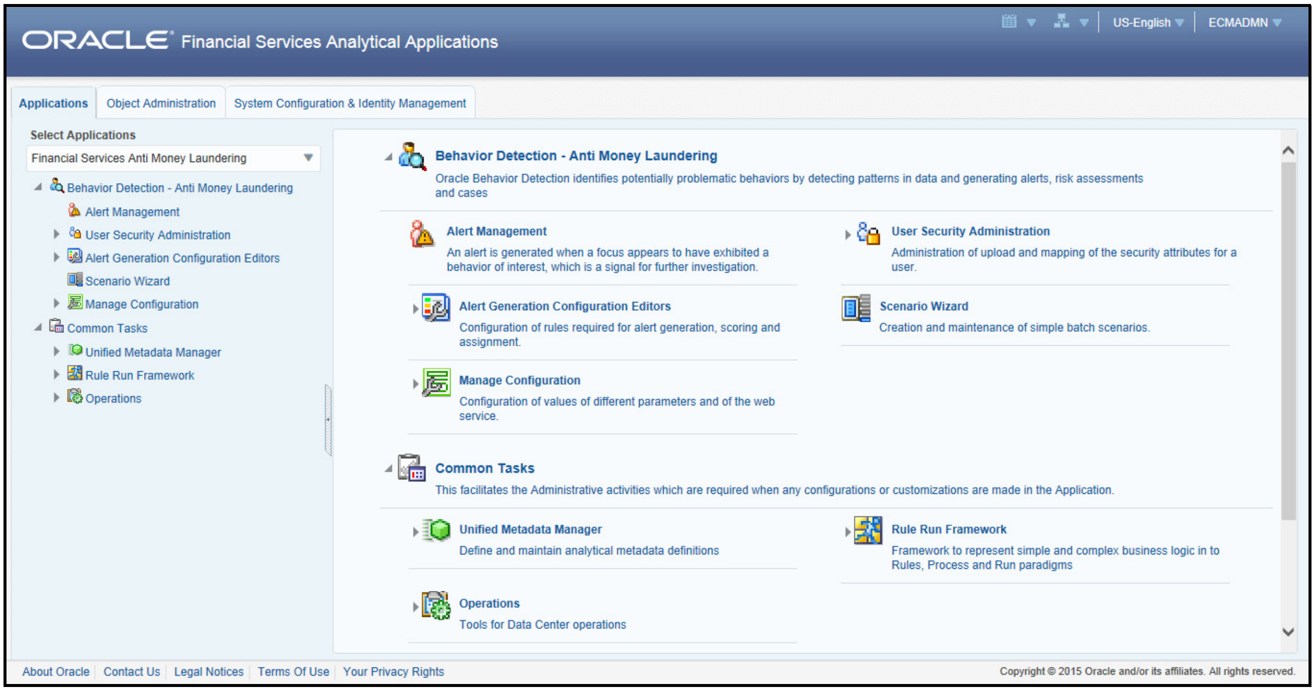
Figure 1. OFSAA Login Page

2. Select the Language from the Language drop-down list.
3. Enter your User ID and Password.
4. Click **Login**. The OFSAA Application page is displayed.


ORACLE Financial Services Analytical Applications
US-English
ECMADMN
Applications
Object Administration
System Configuration & Identity Management
Select Applications
Financial Services Anti Money Laundering
Behavior Detection - Anti Money Laundering
Alert Management
User Security Administration
Alert Generation Configuration Editors
Scenario Wizard
Manage Configuration
Common Tasks
Unified Metadata Manager
Rule Run Framework
Operations
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Legal Notices
Terms Of Use
Your Privacy Rights
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Behavior Detection - Anti Money Laundering
Oracle Behavior Detection identifies potentially problematic behaviors by detecting patterns in data and generating alerts, risk assessments and cases

Alert Management
An alert is generated when a focus appears to have exhibited a behavior of interest, which is a signal for further investigation.

User Security Administration
Administration of upload and mapping of the security attributes for a user.

Alert Generation Configuration Editors
Configuration of rules required for alert generation, scoring and assignment.

Scenario Wizard
Creation and maintenance of simple batch scenarios.

Manage Configuration
Configuration of values of different parameters and of the web service.

Common Tasks
This facilitates the Administrative activities which are required when any configurations or customizations are made in the Application.

Unified Metadata Manager
Define and maintain analytical metadata definitions

Rule Run Framework
Framework to represent simple and complex business logic in to Rules, Process and Run paradigms

Operations
Tools for Data Center operations

Figure 2. OFSAA Application Page

The OFSAA Application page is a common landing page for all users until a preferred application page is set. For more information about how to set your preferred application page, refer to Chapter 14, *Setting User Preferences*. You can use the OFSAA Application page to access the Oracle Financial Services applications in your environment. For example, to access FATCA Management, select **Financial Services Foreign Account Tax Compliance Act Management** from the drop-down list.

The OFSAA Application page has multiple tabs and each tab has specific links to OFSAA Infrastructure and Application modules. The modules which you may access depend on your user role and the OFSAA Application you select. The relevant tabs and links arie displayed

This page is divided into two panes:

- **Left Pane**: Displays any menus and links to modules in a tree format based on the application selected in the Select Application drop-down list.
- **Right Pane**: Displays any menus and links to modules in a navigational panel format based on the selection of the menu inthe Left pane. It also provides a brief description of each menu or link.

Selecting **Financial Services Foreign Account Tax Compliance Act Management** from the drop-down list opens the FATCA Reporting aplication. Based on user roles and access permission, FATCA Reporting displays the following menu options.

- Users mapped to FATC RR Analyst, FATC RR Supervisor, and FATC RR Auditor role can access the **FATCA Reports** Menu.
- Users mapped to FATCA RR Admin role can access the **FATCA Regulatory Reporting User Attribute Administration** menu.

The FATCA Reports menu displays the following sub-menus:

- **Search and List**: This menu allows you to navigate to the Search and List page. From this page you can use various criteria to search for FATCA Regulatory Reports.
- **Case Search:** This menu allows you to navigate to the Case Search page. From this page, you can search for FATCA cases that are ready for regulatory filing, incase your firm has implemented OFSECM.
- **Create New Report**: This menu allows you to navigate to the Create New Reports page where you can initiate a user created FATCA Regulatory Report.

The Administration menu displays the following menu:

- **FATCA Regulatory Report User Attribute Administration**: This menu allows you to map and maintain the security attributes for each user role.

Managing the OFSAA Application Page

This section describes the different panes and tabs in the OFSAA Application page.

The OFSAA Application page has the following tabs:

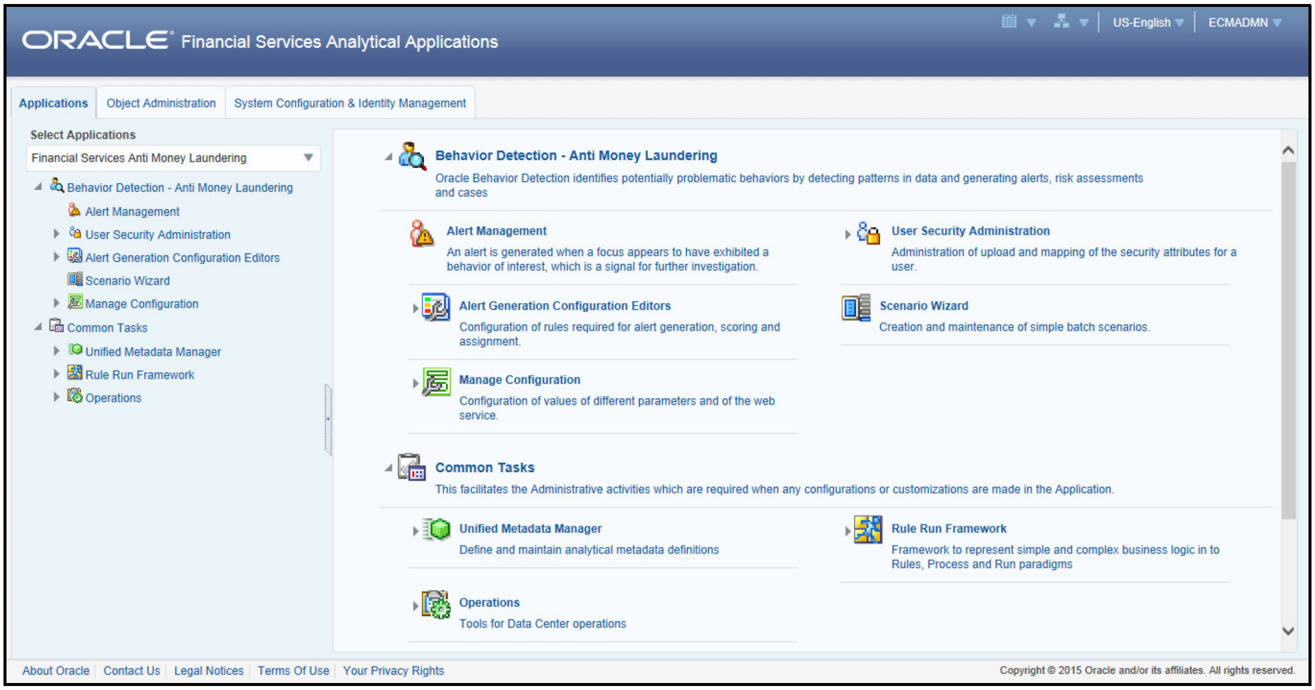
- Applications Tab
- Object Administration Tab
- System Configuration and Identity Management Tab

The following sections describe these tabs.

Applications Tab

The Applications tab lists the various OFSAA Applications that are installed in the OFSAA setup based on the logged in user and mapped OFSAA Application User Group(s).

To access the OFSAA Applications, choose the required Application from Select Application drop-down list. For Alert Management, select **Financial Services Anti Money Laundering.** Based on your selection, the page refreshes the menus and links across the panes.


ORACLE Financial Services Analytical Applications
US-English
ECMADMN
Applications
Object Administration
System Configuration & Identity Management
Select Applications
Financial Services Anti Money Laundering
Behavior Detection - Anti Money Laundering
Alert Management
User Security Administration
Alert Generation Configuration Editors
Scenario Wizard
Manage Configuration
Common Tasks
Unified Metadata Manager
Rule Run Framework
Operations
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Behavior Detection - Anti Money Laundering
Oracle Behavior Detection identifies potentially problematic behaviors by detecting patterns in data and generating alerts, risk assessments and cases

Alert Management
An alert is generated when a focus appears to have exhibited a behavior of interest, which is a signal for further investigation.

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Creation and maintenance of simple batch scenarios.

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Define and maintain analytical metadata definitions

Rule Run Framework
Framework to represent simple and complex business logic in to Rules, Process and Run paradigms

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Figure 3. OFSAA Application Selection Tab

Object Administration Tab

Object Administration is an integral part of the Infrastructure system and allows system administrators to define the security framework with the capacity to restrict access to the data and metadata in the warehouse, based on a flexible, fine-grained access control mechanism. These activities are mainly done at the initial stage, and then as needed. This tab includes information related to the workflow of the Infrastructure Administration process with related procedures to assist, configure, and manage administrative tasks.

The Object Administration tab lists the various OFSAA Information Domains created in the OFSAA setup based on the logged in user and mapped OFSAA Application User Groups. For more information about managing Information Domains, refer to the *Administration Guide*.

To define or maintain access for an Information Domain, choose the required Information Domain from the Select Information Domain drop-down list. Based on your selection, the page refreshes the menus and links across the panes.

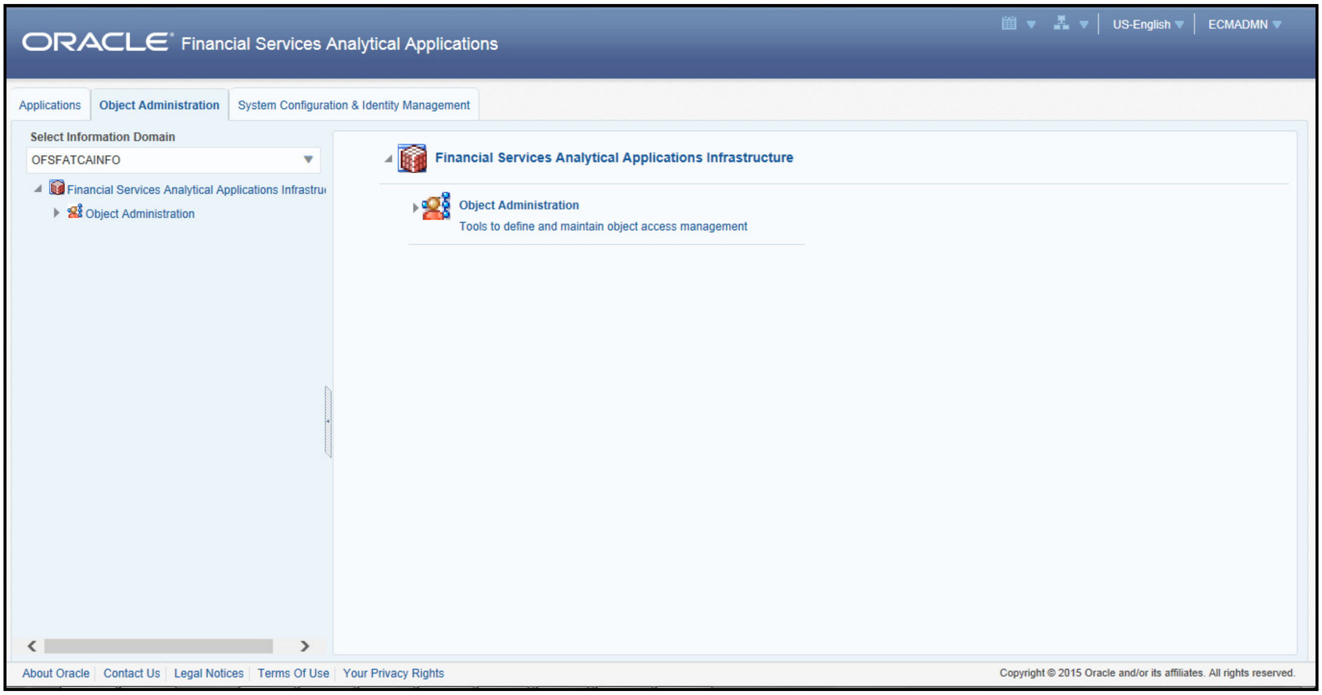

ORACLE Financial Services Analytical Applications
US-English
ECMADMN
Applications
Object Administration
System Configuration & Identity Management
Select Information Domain
OFSFATCAINFO
Financial Services Analytical Applications Infrastru
Object Administration
Financial Services Analytical Applications Infrastructure
Object Administration
Tools to define and maintain object access management
About Oracle
Contact Us
Legal Notices
Terms Of Use
Your Privacy Rights
Copyright © 2015 Oracle and/or its affiliates. All rights reserved.

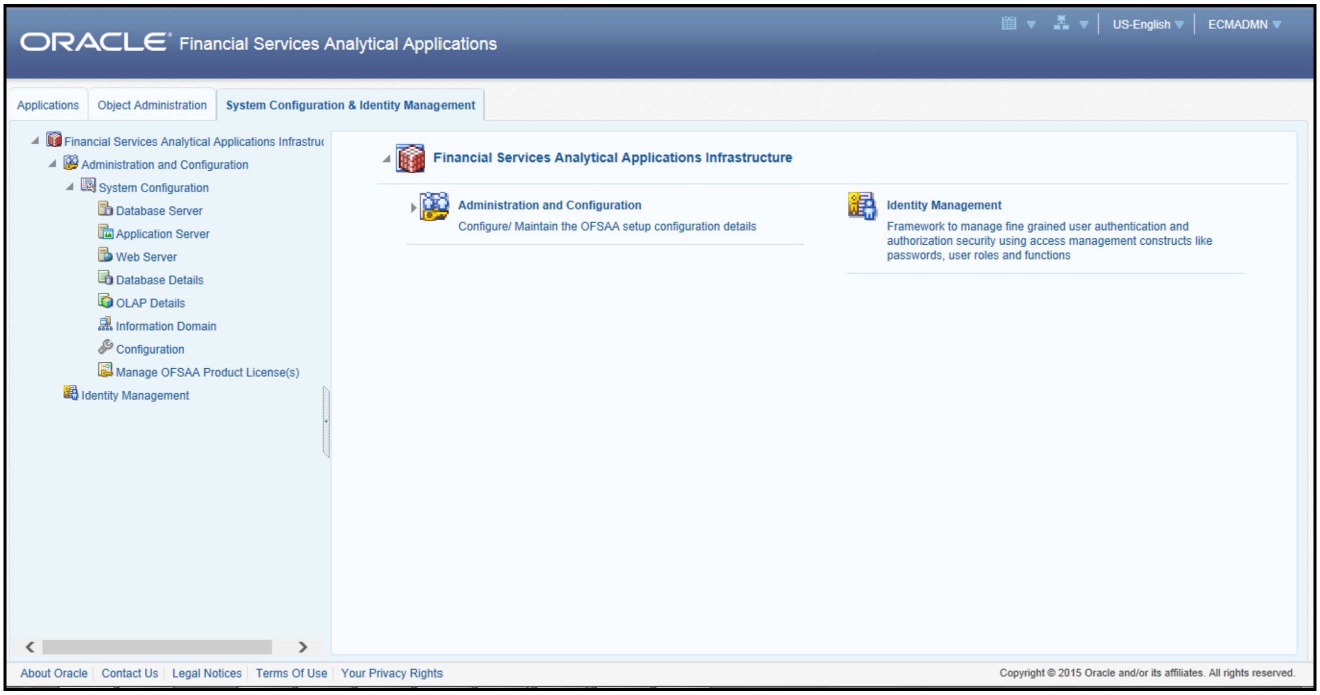
Figure 4. Object Administration Selection Tab

System Configuration and Identity Management Tab

System Configuration and Identity Management is an integral part of the Infrastructure administration process. This tab helps System Administrators to provide security and operational framework required for the Infrastructure.

System Administrators can configure Server details, Database details, OLAP details, and Information Domains, along with other configuration processes such as segment and metadata mapping, mapping segments to securities, and rules setup. System Configuration is mostly a one-time activity, which helps the System Administrator make the Infrastructure system operational.

The System Configuration and Identity Management tab lists the OFSAA Infrastructure System Configuration and Identity Management modules. These modules work across Applications and Information Domains, so there is no Application and Information Domain drop-down list in this tab.


ORACLE Financial Services Analytical Applications
US-English
ECMADMN
Applications
Object Administration
System Configuration & Identity Management
Financial Services Analytical Applications Infrastruc
Administration and Configuration
System Configuration
Database Server
Application Server
Web Server
Database Details
OLAP Details
Information Domain
Configuration
Manage OFSAA Product License(s)
Identity Management
Financial Services Analytical Applications Infrastructure
Administration and Configuration
Identity Management
About Oracle
Contact Us
Legal Notices
Terms Of Use
Your Privacy Rights

Configure/ Maintain the OFSAA setup configuration details

Framework to manage fine grained user authentication and authorization security using access management constructs like passwords, user roles and functions

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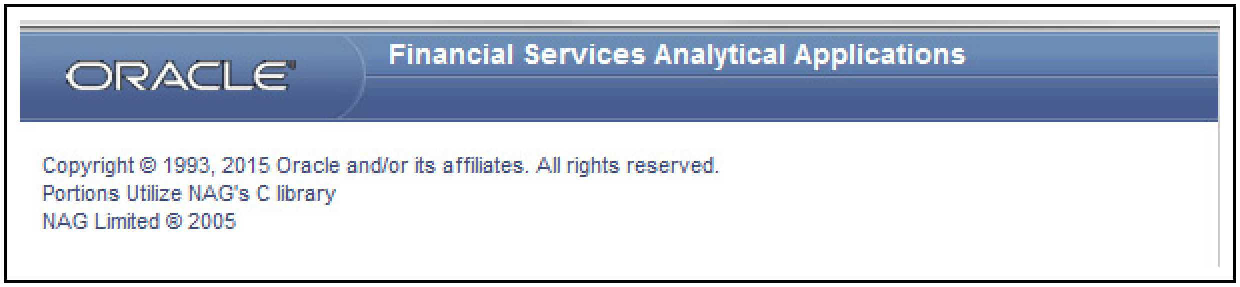
Figure 5. System Configuration and Identity Management Tab

Selecting Identity Management allows System Administrators to manage Users, User Groups, and the functions each User or User Group may access. For more information about managing Users and User Groups, refer to the *Administration Guide*.

Copyright Information

To access copyright information, click the **About** hyperlink in the OFSAA Login page.

The Copyright text displays in a new pop-up window.


ORACLE
Financial Services Analytical Applications

Copyright © 1993, 2015 Oracle and/or its affiliates. All rights reserved.
Portions Utilize NAG's C library
NAG Limited © 2005

Figure 6. Copyright Information

Change Password

If you want to change your password, you can do so using the **Change Password** option available from the drop-down list available on the OFSAA Application page.

The application will navigate to the Password Change page. Enter your old and new password in the given fields respectively, and click **OK**. Your password is changed successfully. After clicking **OK** in the pop-up window, the application navigates back to the Login page where you can login with the new password.

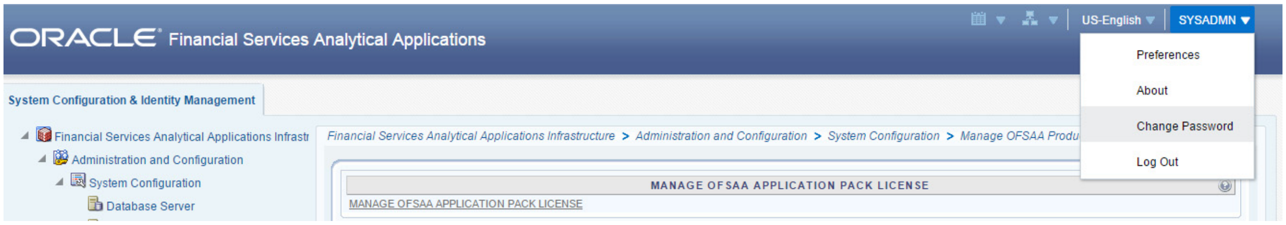

ORACLE Financial Services Analytical Applications
US-English
SYSADMN
Preferences
About
Change Password
Log Out
System Configuration & Identity Management
Financial Services Analytical Applications Infrastr
Administration and Configuration
System Configuration
Database Server
Financial Services Analytical Applications Infrastructure > Administration and Configuration > System Configuration > Manage OFSAA Produ
MANAGE OFSAA APPLICATION PACK LICENSE
MANAGE OFSAA APPLICATION PACK LICENSE

Figure 7. Change Password

Troubleshooting Your Display

If you experience problems logging into Mantas Behavior Detection or with your display, the browser settings may be incompatible with running OFSAA applications. The following sections provide instructions for properly setting your Web display options for OFSAA applicationswithin IE.

Note: The following procedures apply to all versions of IE listed in section *System Requirements* Separate procedures are listed for each version where differences exist in the locations of settings and options.

Enabling JavaScript

JavaScript must be enabled. To enable JavaScript, follow these steps:

1. From the Tools menu, click **Internet Options**.

   The Internet Options dialog box displays.

2. Click the **Security** tab.
3. Click the **Local Intranet** icon as your Web content zone.
4. Click **Custom Level**.

   The Security Settings dialog box displays.

5. In the Settings list and under the Scripting setting, enable all options.
6. Click **OK,** then click **OK** again to exit the Internet Options dialog box.

Enabling Cookies

Cookies must be enabled. If you have problems troubleshooting your display, please contact your System Administrator.

Enabling Temporary Internet Files

Temporary Internet files are pages that you view on the Internet and store in a folder for quick viewing later. You must adjust this setting to always check for new versions of a stored page. To adjust your Temporary Internet File settings, follow these steps:

1. From the Tools menu, click **Internet Options**.

   The Internet Options dialog box displays.

2. On the General tab, click **Settings**.

   The Settings dialog box displays.

3. Click the **Every visit to the page** option.
4. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Enabling File Downloads

File downloads must be available. To enable file downloads, follow these steps:

1. From the Tools menu, click **Internet Options**.

   The Internet Options dialog box displays.

2. Click the **Security** tab.
3. Click the **Local Intranet** icon as your Web content zone.
4. Click **Custom Level**.

   The Security Settings dialog box displays.

5. Under the Downloads section, ensure that **Enable** is selected for all options.
6. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Setting Printing Options

Printing background colors and images must be enabled. To enable this option, follow these steps:

1. From the Tools menu, click **Internet Options.**

   The Internet Options dialog box displays.

2. Click the **Advanced** tab.
3. In the Settings list, under the Printing setting, click **Print background colors and images**.
4. Click **OK** to exit the Internet Options dialog box.

Tip: For best display results, use the default font settings in your browser.

Enabling Pop-Blocker

Some users may experience difficulty running the Oracle Financial Services Behavior Detection application when the IE Pop-up Blocker is enabled. It is recommended to add the URL of the application to the *Allowed Sites* in the Pop-up Blocker Settings in the IE Internet Options.

To enable Pop-up Blocker, follow these steps:

1. From the Tools menu, click **Internet Options**.

   The Internet Options dialog box displays.

2. Click the **Privacy** tab.
3. In the Pop-up Blocker setting, select the **Turn on Pop-up Blocker** option**.**

   The **Settings** enable.

4. Click **Settings** to open the Pop-up Blocker Settings dialog box.
5. In the Pop-up Blocker Settings dialog box, enter the URL of the application in the text area.
6. Click **Add**.

   The URL appears in the Allowed site list.

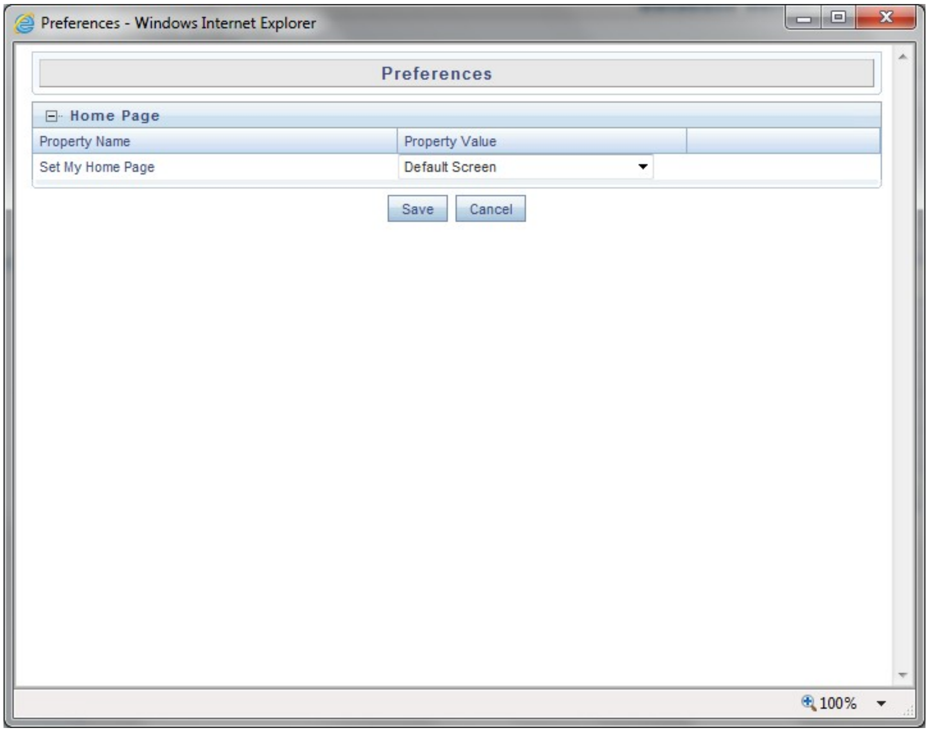
7. Click **Close**, then click **Apply** to save the settings.
8. Click **OK** to exit the Internet Options dialog box.

Setting Preferences

The Preferences section enables you to set your OFSAA Home Page.

To access this section, follow these steps:

1. Click **Preferences** from the drop-down list in the top right corner, where the user name is displayed.
   The Preferences screen is displayed.


Preferences - Windows Internet Explorer
Preferences
Home Page
Save
Cancel
100%

Property Name	Property Value
Set My Home Page	Default Screen

Figure 8. Preference screen.

2. In the Property Value drop-down list, select the application which you want to set as the Home Page.

Note: Whenever new application is installed, the related value for that application is found in the drop-down list.

3. Click **Save** to save your preference.

CHAPTER 4 Managing OFS FATCA Regulatory Reporting

This section provides step-by-step instructions to manage FATCA reports and includes the following topics:

- OFS FATCA Regulatory Reporting Workflow
- Creating FATCA Reports
- Searching FATCA Cases
- Searching FATCA Reports
- Submitting FATCA Reports for Approval
- Setting Due Date For Reports
- Adding Comments to Report
- Exporting the Report Details to Excel

OFS FATCA Regulatory Reporting Workflow

FATCA Reports can be created manually with OFS FATCA Regulatory Reporting application, or from the Case Search page or through batch process. For more information on creating reports, refer to *Creating FATCA Reports*.

Once the reports are created they are displayed in the Search and List page. Users mapped to the role of Analyst can update the report information as needed and submit the report details for approval to the Supervisor.

The Supervisor can approve, rework, or cancel filing of reports once an Analyst has requested approval. On the other hand, Supervisors can also edit the report details and approve reports directly, if needed.

If the report is approved by the Supervisor, the OFS FATCA Regulatory Reporting application generates the final PDF after all the necessary validations. The status of the report changes to Approved. For more information on approving reports, refer *Approving Reports*.

Once the report is approved, the PDF can be submitted to IRS. Submission to IRS occurs outside of the application. The report can then be marked as Submitted in the application. The status of the Report changes to *Submitted*. For more information, refer to *Marking Reports as Submitted*.

If required, the Supervisor can send the report for rework when the report is in request for approval status. The analyst must then re-work the report and re-submit the report for approval. This process continues until the report is approved or canceled. For more information, refer to *Sending Reports For Rework*.

If the Supervisor determines that a report should not be filed, they can cancel it. If the report is canceled, the report details cannot be edited and the report is in View mode. The status of the report changes to *canceled*. For more information, refer to *Cancel Filing of Reports*.

The application allows users mapped to the role of Supervisor to re-open canceled reports. The status of the report changes to *Reopened*. For more information, refer to *Reopening Reports*.

For more information on user roles, refer to *Table 2*.

The report has a life cycle which begins with the *Open* status and ends when it is in *Submitted* status.

Note: You cannot edit report details when the report is in *View Only* mode. You can add comments to a report in all statuses.

To view the report details, click the report name in the Search and List page.

The following figure depicts the workflow of FATCA reports:

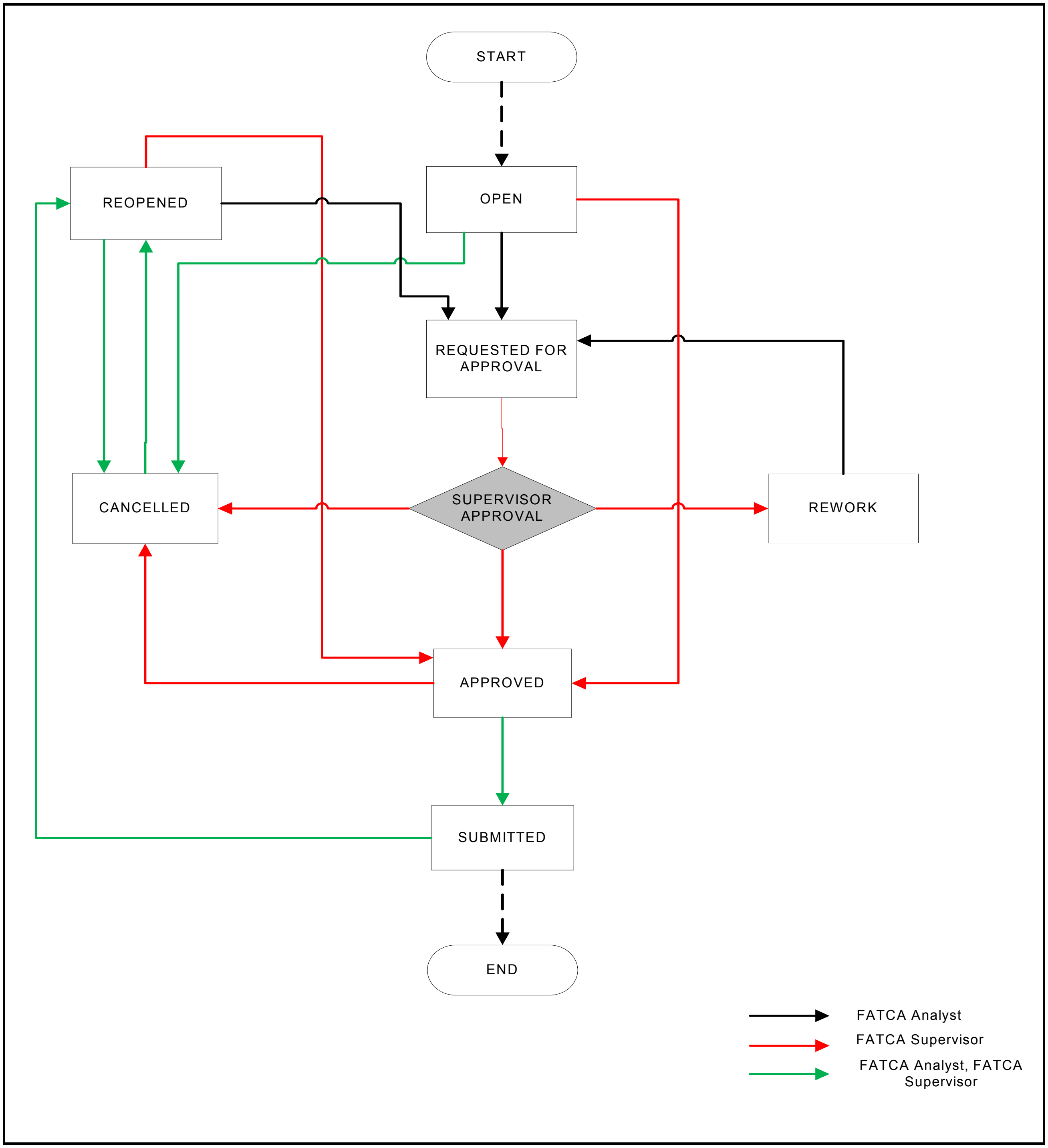

START
OPEN
REOPENED
REQUESTED FOR APPROVAL
SUPERVISOR APPROVAL
CANCELLED
REWORK
APPROVED
SUBMITTED
END
FATCA Analyst
FATCA Supervisor
FATCA Analyst, FATCA Supervisor

Figure 9. Workflow of FATCA Reports

If you try to take action on more than one report and some reports are locked by another user, the application displays the following message: *<Report Name(s)> are locked by another user. Click OK to take action on the remaining reports or CANCEL to go back to the previous page.*

If you try to take action on one or more than one report and all the reports are locked by another user, the application displays the following message: *All the selected reports are locked by another user. Please try again later.*

If you try to open a report that is already opened by another user, the application displays the following message: *The report is currently locked by another user. You will not be able to edit/take action on the report. Do you wish to open report details in read only mode.*

Table 3. Actions that can be performed in Various Statuses

Status	Possible Action	User	Resulting Status
Open	Request for Approval	Analyst	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst, Supervisor	canceled
Reopened	Request for Approval	Analyst	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst, Supervisor	canceled
Requested for Approval	Approve	Supervisor	Approved
	Rework	Supervisor	Rework
	Cancel Filing	Supervisor	canceled
Approved	Submitted	Analyst, Supervisor	Submitted
	Cancel Filing	Supervisor	canceled
Rework	Request for Approval	Analyst	Requested for Approval
Canceled	Reopen	Analyst, Supervisor	Reopened
Submitted	Reopen	Analyst, Supervisor	Reopened

The following table explains in which statuses an Analyst or Supervisor user can edit the report details.

Table 4. Status in which Reports are Editable by Users

Status	Edit Report Details*		
	Analyst	Supervisor	Auditor
Open	X	X	
Reopened	X	X	
Requested for Approval		X	
Approved			
Rework	X	X	
Submitted			
canceled			

Note: Editing reports does not include addition of comments.

Creating FATCA Reports

You can create new FATCA reports whenever you identify tax non-compliance by US taxpayers with foreign accounts, and want to report it to the IRS. The reports can be generated from within the application, or through the Case Search page, or through Batch Process.

This section covers the following topics:

- Creating Reports Manually from OFS FATCA Regulatory Reporting
- Creating Reports from Case Search Page
- Creating Reports Through Batch Process

Creating Reports Manually from OFS FATCA Regulatory Reporting

You can manually create a new report using the **Create New Report** option in the OFS FATCA Regulatory Reporting application.

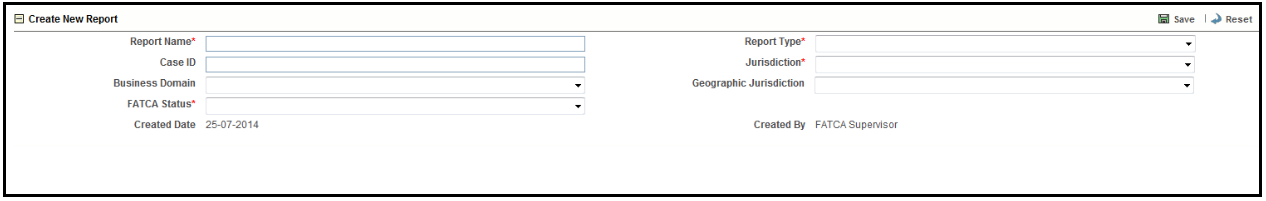
Note: Users mapped to the role of Analyst and Supervisor can create new FATCA reports.

To create FATCA reports from OFS FATCA Regulatory Reporting, follow these steps:

1. From the FATCA Reporting menu, hover over **FATCA Reports** and click **Create New Report**. The Create New Report container is displayed.

   Or

2. Click **Create New report** in the Search and List page. The Create New Report container is displayed.



Created Date 25-07-2014

Created By FATCA Supervisor

Figure 10. Create New Report

3. Enter the required information.

   Note: Always specify values for fields marked as required. Required fields are identified by a red asterisk.

The following table explains the fields in the Create New Report container:

Table 5. Create New Report

Fields	Description
Report Name	Enter a name for the report being created. This is a mandatory field.
Report Type	Select the report type from the drop-down list. Following are the possible options: ● Individual Report ● Pooled Report This is a mandatory field.
Case ID	Enter the Case ID associated with the report.
Jurisdiction	Select the jurisdiction from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration. This is a mandatory field.
Business Domain	Select the business domain from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration.
Geographic Jurisdiction	Select the geographic jurisdiction from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration.
FATCA Status	Select the FATCA status from the drop-down list. This is a mandatory field.
Created Date	This field is auto-populated with the current system date. This field cannot be edited.
Created By	This field is auto-populated with the logged in user's name. This field cannot be edited.

4. Click **Save**. The following confirmation message is displayed: <> *Report created successfully. Click Ok to view the report details or Cancel to create more reports.*
5. Click **OK**. The Report Details page is displayed.

   A new report is created and the due date is set as per the number of days configured in the application parameter Table.

   If the Report Name, Report Type, Jurisdiction, or FATCA Status is missing in the Create new Report container, and when you click on Save, the application displays the following message: *Report Name, Report Type, Jurisdiction and FATCA Status are mandatory.*

Creating Reports from Case Search Page

The Case Search page allows you to create reports from cases generated in OFSFCCM. However, the OFS FATCA Regulatory Reporting application does not support creating reports from the Case Search page, if it is installed as a standalone application.

The Case Search page allows you to create individual/pooled FATCA reports for FATCA cases. For more information on generation of FATCA cases, refer to the *FATCA Administration and Configuration Guide.*

Creating Individual Reports

Individual Reports are used for reporting specific account holder information.

You can create individual reports for more than one FATCA status listed in the Case Summary grid. Each FATCA status can contain one or more cases. If you click **Create Individual Report**, all the cases under the selected FATCA status are converted into Individual FATCA reports.

For example, consider having 15 cases under FATCA status *Non-Participating FFI* and 10 cases under FATCA status *Recalcitrant*. If you click **Create Individual Report** after checking these two FATCA statuses in the Case Summary grid, the application generates 25 individual reports: 10 reports for Non-Participating FFI and 15 reports for Recalcitrant.

To create individual reports, follow these steps:

1. Navigate to the Case Search page.
2. Select the FATCA status for which you want to create an individual report.
3. Click **Create Individual Report**. The following message is displayed: *Reports were created successfully.*
4. Click **OK**.

   Note: The selected FATCA status records are removed from the Case Summary grid after the reports are created successfully.

Creating Pooled Reports

Pooled Reports are used for reporting on an aggregate basis in a reporting pool rather than report specific account holder information. Pooled reports can contain only a given FATCA status.

You can create pooled reports for more than one FATCA status listed in the Case Summary grid. Each FATCA status can contain one or more than one case. If you click **Create Pooled Report**, all the cases under the selected FATCA status are converted into a Pooled Report summarizing each FATCA status into one report.

For example, consider having 15 cases under FATCA status *Non-Participating FFI* and 10 cases under FATCA status *Recalcitrant*. If you click **Create Pooled report** after checking these two FATCA statuses in the Case Summary grid, the application generates 2 reports, 1 report for Non-Participating FFI and 1 report for Recalcitrant.

To create pooled reports, follow these steps:

1. Navigate to the Case Search page.
2. Select the FATCA status for which you want to create an individual report.
3. Click **Create Pooled Report**. The following message is displayed: *Reports were created successfully.*
4. Click **OK**. The selected FATCA status is removed from the Case Summary grid

Creating Reports Through Batch Process

For a standalone application, reports are generated using Batch Process. Reports are generated based on FATCA Status, Overall Indicia, and FATCA Pool Report Code. For standalone implementations, these values are provided by the client as part of the Account reference data and are used to determine if an account should be reported and under what classification. The reports are generated automatically whenever the batch is run.

For more information on batch process, refer to the *FATCA RR Administration and Configuration Guide*.

Searching FATCA Cases

The Case Search page enables you to search for cases that you want to view and analyze using the search criteria.

By default, the search criteria is blank.

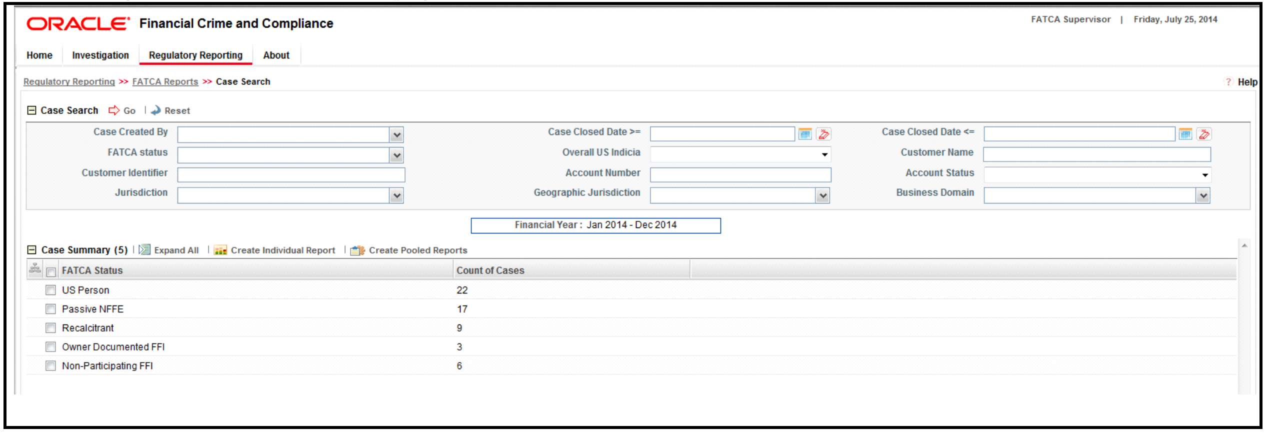
The Case Summary in the Case Search page displays the number of latest created FATCA cases matching the search criteria, for an account. All cases are grouped by FATCA status of an account. The search results are further filtered based on the following logic:

1. Only FATCA cases in the following statuses are considered:
    a. Closed - Cases closed by users following an investigation.
    b. Closed by System - These are cases which are automatically closed by the system upon creation based upon configurable settings. For example, if the FATCA status is clear and due diligence is not required, the case may be automatically closed and ready for filing depending on status.
2. Based on the search criteria, the latest cases for an account number are displayed, if the cases are in *Closed* or *Closed by System* status.
3. The cases are displayed only for the current filing financial year configured in static tables.
4. Cases are displayed based on the security attributes mapped to the current user. Users can only see cases to which they have access rights.

Searching FACTA Cases Using Search Criteria

To search for FATCA cases using the search components, follow these steps:

1. Navigate to the Case Search page.


ORACLE Financial Crime and Compliance
FATCA Supervisor | Friday, July 25, 2014
Home
Investigation
Regulatory Reporting
About
Regulatory Reporting >> FATCA Reports >> Case Search
Help
Case Search
Go
Reset
Case Created By
FATCA status
Customer Identifier
Jurisdiction
Case Closed Date >=
Overall US Indicia
Account Number
Geographic Jurisdiction
Case Closed Date <=
Customer Name
Account Status
Business Domain
Case Summary (5)
Expand All
Create Individual Report
Create Pooled Reports

Financial Year : Jan 2014 - Dec 2014

FATCA Status	Count of Cases
☐ US Person	22
☐ Passive NFFE	17
☐ Recalcitrant	9
☐ Owner Documented FFI	3
☐ Non-Participating FFI	6

Figure 11. Case Search Page

2. Enter the details in the relevant search fields to retrieve the number of reportable cases for each reportable FATCA status. The following table explains the search fields in Case Search page.

Table 6. Search Criteria in Case Search Page

Field Name	Description
Case Created By	Select the user who has created the case from the drop-down list. This field allows searching of cases with multiple options selected with user names displayed as drop-down option.
Case Closed Date >=	Select the case closed date from the calendar to display cases having a closed date greater than or equal to the specified date. You can either perform a range search using ‘Closed Date >=’ and ‘Closed Date<=’ or use them independently. If you specify Case Closed Date <= or Case Closed Date >= outside the current financial year in search criteria in Case Search page and click on Go, the application displays the following message: *The Case Closed Dates should fall in between Current Financial Year.*
Case Closed Date <=	Select the closed date from the calendar to display cases having a closed date lesser than or equal to the specified date. You can either perform a range search using ‘Closed Date >=’ and ‘Closed <=’ or use them independently. If you enter a Case Closed Date <= which is less than Case Closed Date >=, the application displays the following message: *Please enter a 'Case Closed Date <=' which is equal to or greater than 'Case Closed Date >='.* If you enter a Case Closed Date <= which is greater than the system date, the application displays the following message: *Please enter a 'Case Closed Date <=' which is earlier than or equal to sysdate.*

Table 6. Search Criteria in Case Search Page

Field Name	Description
FATCA Status	Select the FATCA status from the drop-down list to display the number of reportable closed cases for the selected FATCA status. This field allows searching of reports with multiple options selected. The drop-down displays only reportable FATCA status as options and these options are configurable.
Overall US Indicia	Select the overall US Indicia to display number of cases with the specified US Indicia.
Customer Name	Enter the customer name to display number of reportable cases that involves the specified customer. This field supports wildcard search and allows you to enter a maximum of 255 characters.
Customer Identifier	Enter the customer identifier number to display number of reportable cases where the customer identifier is the focal entity. You can perform multiple customer identifier search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Account Number	Enter the account number to display number of reportable cases where the account number is focal entity. You can perform multiple account number search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Account Status	Select the account status from the drop-down list to display number of reportable cases in the selected status. Following are the options available for Account status drop-down list: ● Dormant ● Active
Jurisdiction	Select the jurisdiction from the multi-select drop-down list to display number of reportable cases of the specified jurisdiction. The possible options for jurisdiction is derived from the static table.
Geographic Jurisdiction	Select the geographic jurisdiction from the multi-select drop-down list to display number of reportable cases of the selected jurisdiction. The possible options for geographic jurisdiction is derived from the static tables.
Business Domain	Select the business domain from the multi-select drop-down list to display number of reportable cases of the specified business domain. The possible options for business domain is derived from the static tables.

3. Click **Go**. The relevant search list is displayed.

Searching FATCA Reports

The Search and List page enables you to filter the list of reports that you want to view and analyze. The search bar supports three types of search, namely, Views, Basic Search, and Advanced Search.

The Reports List displays the list of reports that meet the criteria specified on the Search bar.

This section explains the following topics:

- Searching FACTA Reports Using Basic Search
- Searching FACTA Reports Using Advanced Search
- Searching FACTA Reports Using Pre-defined Views

Searching FACTA Reports Using Basic Search

This search is based on a limited set of search components and helps to retrieve the required reports details.

To search for FATCA reports using the basic search components, follow these steps:

1. Navigate to the Search and List page.

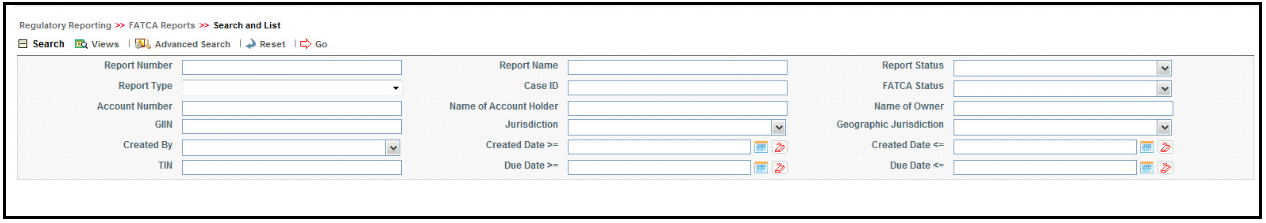

Regulatory Reporting >> FATCA Reports >> Search and List
Search
Views
Advanced Search
Reset
Go
Report Number
Report Name
Report Status
Report Type
Case ID
FATCA Status
Account Number
Name of Account Holder
Name of Owner
GIIN
Jurisdiction
Geographic Jurisdiction
Created By
Created Date >=
Created Date <=
TIN
Due Date >=
Due Date <=

Figure 12. Basic Search Components

Note: The basic **Search** option is displayed by default.

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer to *Table 7*.
3. Click **Go**. The relevant search list is displayed.

   Note: If there is no match for the entered search criteria, the application displays *No Data Found* message.

Searching FACTA Reports Using Advanced Search

The Advanced Search offers the same search fields as provided for a simple search along with additional fields. If you know any of the report details such as approver details, last modified details, report submitted details, and so on, then you can filter the list of reports using the advanced search components.

To search for reports using advanced search components, follow these steps:

1. Navigate to the Search and List page.
2. Click **Advanced Search** from the search bar.

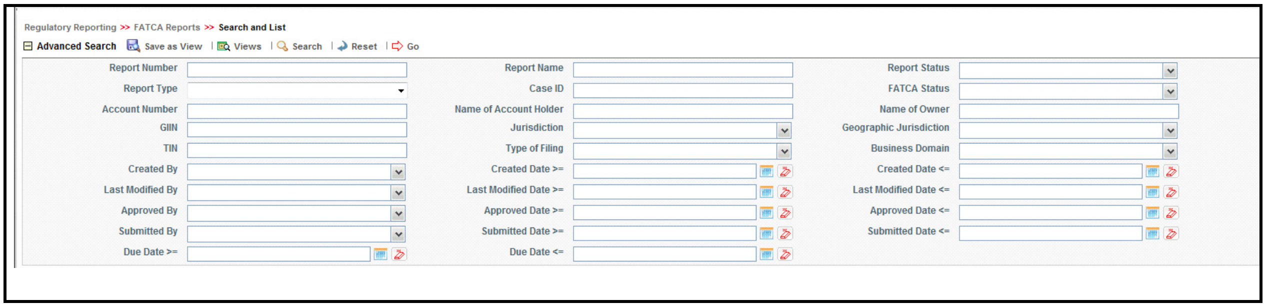

Regulatory Reporting >> FATCA Reports >> Search and List
Advanced Search
Save as View
Views
Search
Reset
Go
Report Number
Report Type
Account Number
GIIN
TIN
Created By
Last Modified By
Approved By
Submitted By
Due Date >=
Report Name
Case ID
Name of Account Holder
Jurisdiction
Type of Filing
Created Date >=
Last Modified Date >=
Approved Date >=
Submitted Date >=
Due Date <=
Report Status
FATCA Status
Name of Owner
Geographic Jurisdiction
Business Domain
Created Date <=
Last Modified Date <=
Approved Date <=
Submitted Date <=

Figure 13. Advanced Search Components

3. Enter the search components to filter the reports.

   The following table provides the description of the search components that display in the Advanced Search bar:

Table 7. Components of Advanced Search Bar

Criteria	Search Component of Advanced/Basic Search	Description
Report Number	Basic Search	Enter the Report number in the text field to search for details of the exact report. This field supports wildcard search. You can enter a maximum of 50 characters in this field beyond which the application displays the following message: *Number of characters exceeded.*
Report Name	Basic Search	Enter the report name to display the list of reports with name as specified in the search criteria. This field supports wildcard search. You can enter a maximum of 50 characters beyond which the application displays the following message: *Number of characters exceeded.*

Criteria	Search Component of Advanced/Basic Search	Description
Report Status	Basic Search	Select the report status from the drop-down list to display reports in the selected status. Following are the options available for Report status drop-down list: ● Open ● Requested for Approval ● Approved ● Rework ● Submitted ● canceled ● Reopened This field allows searching of reports with multiple options selected.
Report Type	Basic Search	Select the report type from the drop-down list to display reports of the selected type. Following are the possible options: ● Individual Reports ● Pooled Reports
Case ID	Basic Search	Enter the Case ID to display reports with the selected Case ID. You can perform multiple Case ID search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
FATCA Status	Basic Search	Select the FATCA status from the drop-down list to display reports in the selected status. This field allows searching of reports with multiple options selected. The drop-down displays only reportable FATCA status as options and these options are configurable.
Account Number	Basic Search	Enter the account number to display reports with the selected account number. You can perform multiple account number search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Name of Account Holder	Basic Search	Enter the name of the account holder to display reports where the person specified is the account holder. This field allows you to enter a maximum of 255 characters and supports wildcard search.
Name of Owner	Basic Search	Enter the name of the account owner to display reports where the person specified is the owner of the account. This field allows you to enter a maximum of 255 characters and supports wildcard search.

Criteria	Search Component of Advanced/Basic Search	Description
GIIN	Basic Search	Enter the GIIN of the filer to display reports with the specified GIIN of the filer. You can perform multiple GIIN search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters. GIIN stands for Global Intermediary Identification Number (GIIN) and is a unique identification number provided to the Filer.
Jurisdiction	Basic Search	Select the jurisdiction from the multi-select drop-down list to display reports of the selected jurisdiction. The possible options for jurisdiction is derived from the DIM tables.
Geographic Jurisdiction	Basic Search	Select the geographic jurisdiction from the multi-select drop-down list to display reports of the selected jurisdiction. The possible options for jurisdiction is derived from the kdd_geo_jrsdcn tables.
TIN	Basic Search	Enter the TIN number to display reports based on TIN of account owner or account holder. You can perform multiple TIN search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Due Date>=	Basic Search	Select the due date from the calendar to display reports having due date greater than or equal to the specified date. 1. If you enter a date in ‘Due Date <=’ which is less than ‘Due Date >=’, the application displays the following message: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.* 2. If Due date >= is not mentioned but Due date <= is available, the application displays the following message: *'Due Date >=' is mandatory if 'Due Date <=' is mentioned. Please enter a date in 'Due Date >='.* 3. If you enter a due date which is less than current date, the application displays the following message: *Please enter a due date which is equal to or greater than sysdate.*
Due Date<=	Basic Search	Select the due date from the calendar to display reports having due date lesser than or equal to the specified date. While performing a range search, if you enter a value in ‘Due date <=’ less than ‘Due date >=’, the application displays the following message: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.*
Created By	Basic Search	Select the user who has created the report from the drop-down list. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.

Criteria	Search Component of Advanced/Basic Search	Description
Created Date >=	Basic Search	Select the created date from the calendar to display reports having a created date greater than or equal to the specified date. You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.
Created Date <=	Basic Search	Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date. 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* 2. If you enter a value in created date <= greater than the system date, the application displays the following message: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.*
Last Modified By	Advanced Search	Select the user who has last modified the report from the drop-down list. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.
Last Modified Date >=	Advanced Search	Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date. You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.
Last Modified Date <=	Advanced Search	Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date. 1. While performing a range search, if you enter a value in 'Last Modified Date <=' less than 'Last Modified Date >=', the application displays the following message: *Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.* 2. If you enter a value in 'Last Modified Date <=' greater than the system date, the application displays the following message: *Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.* 3. If Last Modified Date >= is not mentioned but Last Modified Date <= is available, the application displays the following message: *'Last Modified Date >=' is mandatory if 'Last Modified Date <=' is mentioned. Please enter a date in 'Last Modified Date >='.*
Approved By	Advanced Search	Select the name of the approver to search for reports approved by the selected user. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.

Criteria	Search Component of Advanced/Basic Search	Description
Approved Date >=	Advanced Search	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.
Approved Date <=	Advanced Search	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date. 1. While performing a range search, if you enter a value in ‘Approved Date <=’ less than ‘Approved Date >=’, the application displays the following message: *Please enter an 'Approved Date <=' which is equal to or greater than Approved Date >=.* 2. If you enter a value in ‘Approved Date <=’ greater than the system date, the application displays the following message: *Please enter an 'Approved Date <=' which is earlier than or equal to sysdate.* 3. If Approved date >= is not mentioned but Approved date <= is available: 'Approved Date >=' is mandatory if 'Approved Date <=' is mentioned. Please enter a date in 'Approved Date >='.
Submitted By	Advanced Search	Select the name of the filer from the drop-down list to search for reports submitted by the selected user. This field allows searching of reports with multiple options selected.
Submitted Date >=	Advanced Search	Select the filed date from the calendar to display reports having filed date greater than or equal to the specified date.
Submitted Date <=	Advanced Search	Select the filed date from the calendar to display reports having filed date lesser than or equal to the specified date. 1. While performing a range search, if you enter a value in ‘Filed Date <=’ less than ‘Filed Date >=’, the application displays the following message: *Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >='.* 2. If you enter a value in ‘*Submitted* Date <=’ greater than the system date, the application displays the following message: *Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.*

Criteria	Search Component of Advanced/Basic Search	Description
Type of Filing	Advanced Search	Select the type of filing from the multi-select drop-down list to display reports of the specified filing type. Following are the possible options: ● Initial ● Corrected ● Amended ● Voided
Business Domain	Advanced Search	Select the business domain from the multi-select drop-down list to display reports of the specified business domain. The possible options for business domain is derived from the DIM tables.

3. Click **Go**. The relevant search list is displayed.

   Note: If there is no match for the entered search criteria, the application displays the following message: *No Data Found*.

Searching FACTA Reports Using Pre-defined Views

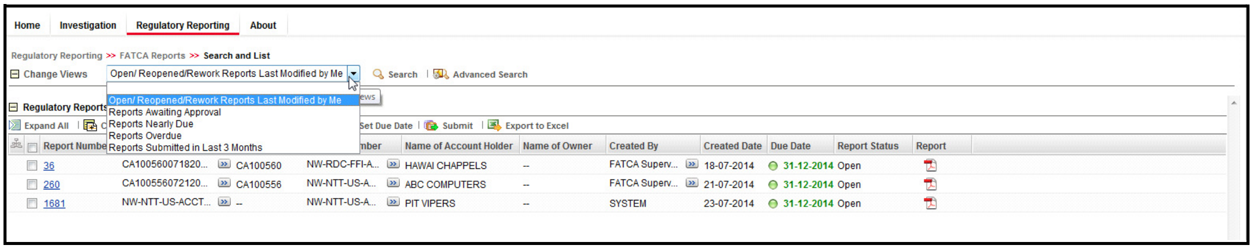
Views search helps you to quickly filter the reports based on pre-defined search queries.

To search for reports using pre-defined views, follow these steps:

1. Navigate to Search and List page.

   Note: By default, the Search and List page displays all the available records.

2. Click **Views** from the search bar.


Home
Investigation
Regulatory Reporting
About
Regulatory Reporting >> FATCA Reports >> Search and List
Change Views
Open/ Reopened/Rework Reports Last Modified by Me
Search
Advanced Search
Open/ Reopened/Rework Reports Last Modified by Me
Reports Awaiting Approval
Reports Nearly Due
Reports Overdue
Reports Submitted in Last 3 Months
Regulatory Reports
Expand All
Set Due Date
Submit
Export to Excel

Report Numbe			mber	Name of Account Holder	Name of Owner	Created By	Created Date	Due Date	Report Status	Report
36	CA100560071820...	CA100560	NW-RDC-FFI-A...	HAWAI CHAPPELS	--	FATCA Superv...	18-07-2014	31-12-2014	Open	
260	CA100556072120...	CA100556	NW-NTT-US-A...	ABC COMPUTERS	--	FATCA Superv...	21-07-2014	31-12-2014	Open	
1681	NW-NTT-US-ACCT...	--	NW-NTT-US-A...	PIT VIPERS	--	SYSTEM	23-07-2014	31-12-2014	Open	

Figure 14. Views Search

3. Select any of the pre-defined views from the Views drop-down list. The Search and List page refreshes to show results matching the View criteria.

   The following table explains the different types of default pre-defined views available:

Table 8. Pre-defined Views

Views	Description
Reports Awaiting Approval	Select **Reports Awaiting Approval** from the drop-down list to display the list of reports in *Requested for Approval* status. This option is the default view for Supervisor. **Note:** Users will be allowed to take action on the Reports Awaiting Approval based on the user role, actions and status mapping.
Open/ Reopened/Rework – Last Modified by Me	Select **Open/ Reopened - Reports Last Modified by Me** from the drop-down list to display reports in Open/Reopened/Rework status for which the logged in user is the last modifier. This option is the default view for an Analyst.
Reports Nearly Due	Select **Reports Nearly Due** from the drop-down list to display the reports that are approaching their due dates. The Nearly Due date is defined as 4 days from the due date or all the reports in which due date is System date +4. Reports which are nearly due are highlighted in *Yellow* color.
Reports Overdue	Select **Reports Overdue** from the drop-down list to display the list of reports that have exceeded their due dates. When a report is past its due date or when the due date is same as the system date, the reports in the Search and List page are highlighted in *Red* color.

Table 8. Pre-defined Views

Views	Description
Reports Submitted in the Last 3 Months	Select **Reports Filed in Last 3 Months** from the drop-down list to display reports that were submitted in the last 3 months. This option is the default view for an Auditor.
All saved views by user	Select any of the views that you have created and saved using the **Save as View** button to display reports as per the view selected. For more information, refer to section *Saving Views*. The saved view is available only to the user creating the view and will not be available to other users.

Saving Views

The **Save as View** action allows you to save the search criteria as a view. The saved views will be available in the Views drop-down list.

To save a view, follow these steps.

1. Navigate to Search and List page and click **Advanced Search**.
2. Enter the search criteria you want to save as view.
3. Click **Save as View**. The Save as View window is displayed.

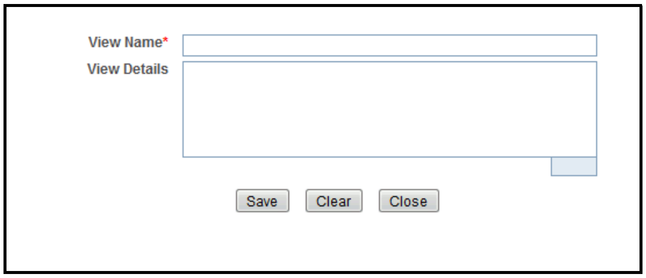


Figure 15. Save as View Window

4. Enter the view name and view details.

   The View Details box in the **Save as view** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in this box, the following message is displayed: *Number of characters exceeded*.

5. Click **Save**. The following message is displayed: *Add Operation Successful*.
6. Click **OK**. The view is saved and is displayed in the Views drop-down list.

   The saved view is available only to the user creating the view and will not be available to any other users.

Submitting FATCA Reports for Approval

This process involves the following steps:

- Entering Report Details in Report Details Page
- Taking Actions on FATCA Reports

Entering Report Details in Report Details Page

The Report Details page allows users mapped to the role of Analyst and Supervisor to enter or update report information depending upon the report status.

Click the report name in the Search and List page to navigate to the Report Details page.

The Report Details page allows you to manage the following sections:

- Report Context
- Identification of Filer
- Account Holder/Payee Information
- Financial Information
- Related Reports
- Pooled Reporting Type
- Documents
- Audit

Note: For Individual reports, the Report Details page displays the tabs namely, Identification of Filer, Account Holder/Payee Information, Financial Information, Related Reports, Documents, and Audit.

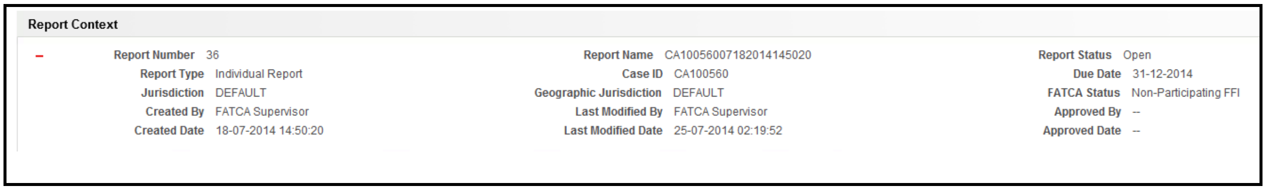
For Pooled reports, the Report Details page displays the tabs namely, Identification of Filer, Pooled Reporting Type, Documents, and Audit.

This section explains the following topics:

- Managing Identification of Filer Tab
- Managing Account Holder/Payee Information Tab
- Managing Financial Information Tab
- Managing Related Reports Tab
- Managing Pooled Reporting Tab
- Managing Documents Tab
- Viewing Audit Information

Report Context

The Report Context section in the Report Details page displays information about the report and is non-editable. It contains minimize and maximize buttons that allow you to expand and collapse the details in the Report Context. By default, the Report Context container is in minimized mode and displays report number, report name, and report status.



Report Number 36
Report Name CA10056007182014145020
Report Status Open
Report Type Individual Report
Case ID CA100560
Due Date 31-12-2014
Jurisdiction DEFAULT
Geographic Jurisdiction DEFAULT
FATCA Status Non-Participating FFI
Created By FATCA Supervisor
Last Modified By FATCA Supervisor
Approved By --
Created Date 18-07-2014 14:50:20
Last Modified Date 25-07-2014 02:19:52
Approved Date --

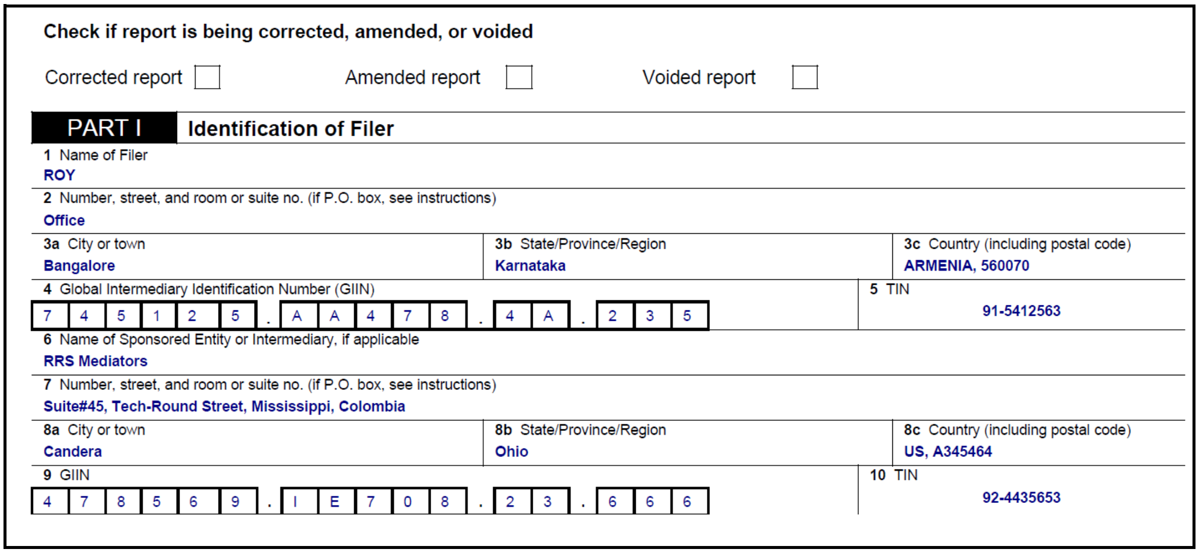
Figure 16. Report Context

The Report Context displays the following information:

- Report Number
- Report Name
- Report Status
- Report Type
- Case ID
- Due Date
- Created By
- Last Modified By
- Approved By
- Created Date
- Last Modified Date
- Approved Date
- Jurisdiction
- Geographic Jurisdiction
- FATCA Status

Managing Identification of Filer Tab

This tab refers to the **Part I Identification of Filer** section in the FATCA report.



Check if report is being corrected, amended, or voided

Corrected report ☐ Amended report ☐ Voided report ☐

PART I **Identification of Filer**

1 Name of Filer
ROY

2 Number, street, and room or suite no. (if P.O. box, see instructions)
Office

3a City or town
Bangalore

3b State/Province/Region
Karnataka

3c Country (including postal code)
ARMENIA, 560070

4 Global Intermediary Identification Number (GIIN)
7 4 5 1 2 5 . A A 4 7 8 . 4 A . 2 3 5

5 TIN
91-5412563

6 Name of Sponsored Entity or Intermediary, if applicable
RRS Mediators

7 Number, street, and room or suite no. (if P.O. box, see instructions)
Suite#45, Tech-Round Street, Mississippi, Colombia

8a City or town
Candera

8b State/Province/Region
Ohio

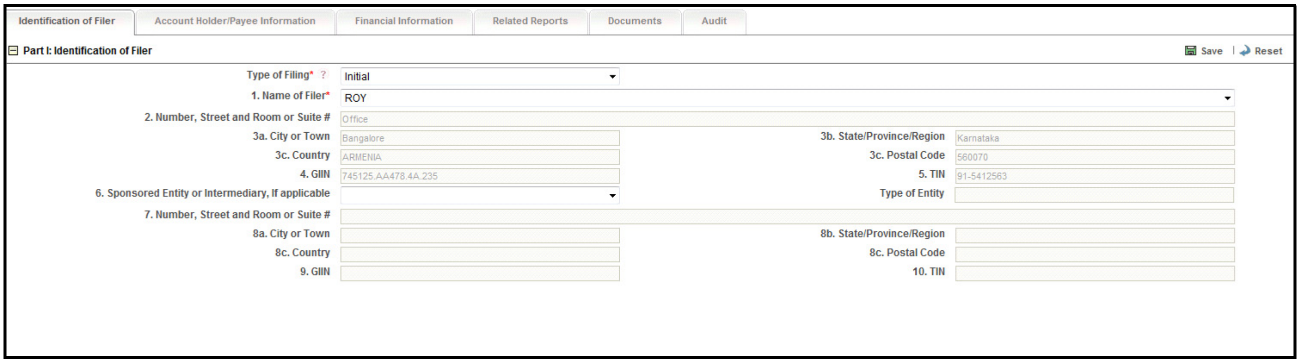
8c Country (including postal code)
US, A345464

9 GIIN
4 7 8 5 6 9 . I E 7 0 8 . 2 3 . 6 6 6

10 TIN
92-4435653

Figure 17. Identification of Filer Information in Final Report

The Identification of Filer tab is the default tab selected when you navigate to the Report Details page. This tab provides information about the bank or the financial institution filing the report.



Type of Filing*: Initial
1. Name of Filer*: ROY
2. Number, Street and Room or Suite #: Office
3a. City or Town: Bangalore
3b. State/Province/Region: Karnataka
3c. Country: ARMENIA
3c. Postal Code: 560070
4. GIIN: 745125.AA478.4A.235
5. TIN: 91-5412563
6. Sponsored Entity or Intermediary, If applicable:
Type of Entity:
7. Number, Street and Room or Suite #:
8a. City or Town:
8b. State/Province/Region:
8c. Country:
8c. Postal Code:
9. GIIN:
10. TIN:

Figure 18. Identification of Filer Tab

The following table explains the fields in Identification of Filer tab.

Table 9. Fields in Identification of Filer Tab

Fields	Description
Type of Filing	Select the type of filing from the drop-down list. Following are the possible values: ● **Initial Report**: Select Initial report from the drop-down list if you are submitting the report to the Internal Revenue Service (IRS) for the first time. ● **Amended Report**: Select Amended Report from the drop-down list if the report was previously submitted to IRS, but is being resubmitted with modifications to correct the earlier provided information. ● **Voided**: Select Void Data if you want to erase the previously-filed records submitted to IRS and when data must be re-transmitted. Only records with the following errors should be voided: ■ No Account Holder or Substantial US Owner TIN ■ Incorrect Account Holder or Substantial US Owner TIN ■ Incorrect Account Holder or Substantial US Owner Name ■ Incorrect Account Holder or Substantial US Owner Name and Address ● **Corrected**: Select Corrected Data if the report was previously submitted to IRS, but is being resubmitted due to IRS request to correct the errors in the data filed previously. Corrected Data should be used only while responding to an IRS request to correct the report data. (not used for Decryption, XML or other file-level errors). If Type of Filing is missing from the Identification of Filer Tab, the application displays the following message: *Please enter Type of Filing as it is a mandatory field.* If Type of Filing and Name of Filer are missing from the Identification of Filer Tab and if you click on Save, the application displays the following message: *Type of Filing and Name of Filer are mandatory.*
Name of Filer	Select the name of the filing institute from the drop-down list. The fields Number, Street and Room or Suite #, City or Town, Country, GIIN, and TIN are auto populated on selection of the filer. If Name of Filer is missing from the Identification of Filer Tab, the application displays the following message: *Please enter Name of Filer as it is a mandatory field.*
Number, Street and Room or Suite #	Displays the address of the filing institute.
City or Town	Displays the city in which the filing institution is located.
Country	Displays the country in which the filing institution is located.
GIIN	Displays the GIIN of the filing institution. GIIN stands for Global Intermediary Identification Number. It is a unique identification number provided by IRS to the filing institute.
TIN	Displays the TIN of the filing institution. TIN stands for Tax Identifier Number.
Sponsored Entity or Intermediary, If applicable	Select the name of the sponsored FFI or other intermediary from the drop-down list. The fields Number, Street and Room or Suite #, City or Town, State/Province/Region, Country, Postal Code, GIIN, TIN are auto populated
Number, Street and Room or Suite #	Displays the address of the filing institute.

Table 9. Fields in Identification of Filer Tab

Fields	Description
City or Town	Displays the city of the filing institute.
State/Province/Region	Displays the state of the filing institute.
Country	Displays the country of the filing institute.
Postal Code	Displays the postal code of the filing institute.
GIIN	Displays the Unique Identification Number provided by IRS to the Sponsored FFI or other Intermediary.
TIN	Displays the Tax identifier Number for Sponsored FFI or other Intermediary.

To save information in Identification of Filer tab, enter the required information in the fields and then click **Save**.

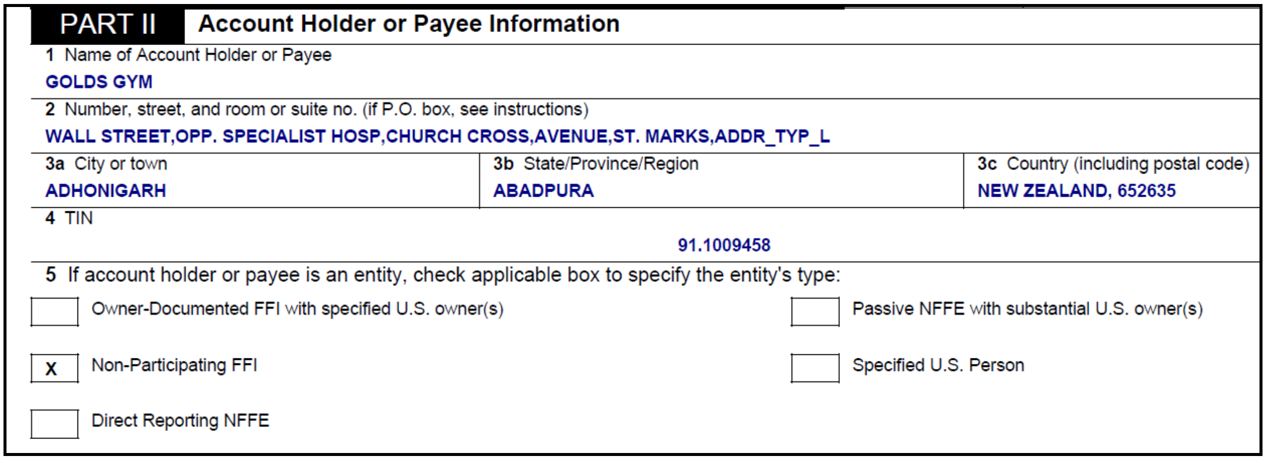
Click **Reset**, to reset the values to last saved data.

If you click on **Request for approval/approve** and if required mandatory fields such as Type of Filing, or Name of Filer are missing in the Identification of Filer tab, the application displays the following message: *Required mandatory information is missing on Identification of Filer tab.*

Managing Account Holder/Payee Information Tab

This tab refers to the **Account Holder or Payee Information section** in the Final report.

If required information is missing in Account Holder/Payee Information tab and when you click on Validate, the application displays the following message: *1,2 - Records are missing required information. Please make sure that you have provided values for Name of Owner, City or Town, Country and TIN of Owner.*



PART II **Account Holder or Payee Information**

1 Name of Account Holder or Payee
GOLDS GYM

2 Number, street, and room or suite no. (if P.O. box, see instructions)
WALL STREET,OPP. SPECIALIST HOSP,CHURCH CROSS,AVENUE,ST. MARKS,ADDR_TYP_L

3a City or town
ADHONIGARH

3b State/Province/Region
ABADPURA

3c Country (including postal code)
NEW ZEALAND, 652635

4 TIN
91.1009458

5 If account holder or payee is an entity, check applicable box to specify the entity's type:

☐ Owner-Documented FFI with specified U.S. owner(s)
☐ Passive NFFE with substantial U.S. owner(s)
☒ Non-Participating FFI
☐ Specified U.S. Person
☐ Direct Reporting NFFE

Figure 19. Account Holder/Payee Information in Final Report

The Account Holder/Payee Information tab provides details about the account holder/payee.

This tab displays the following sections:

- Part II: Account Holder or Payee Information
- Part III: Identifying Information of US Owners that are specified US Persons

Part II: Account Holder or Payee Information

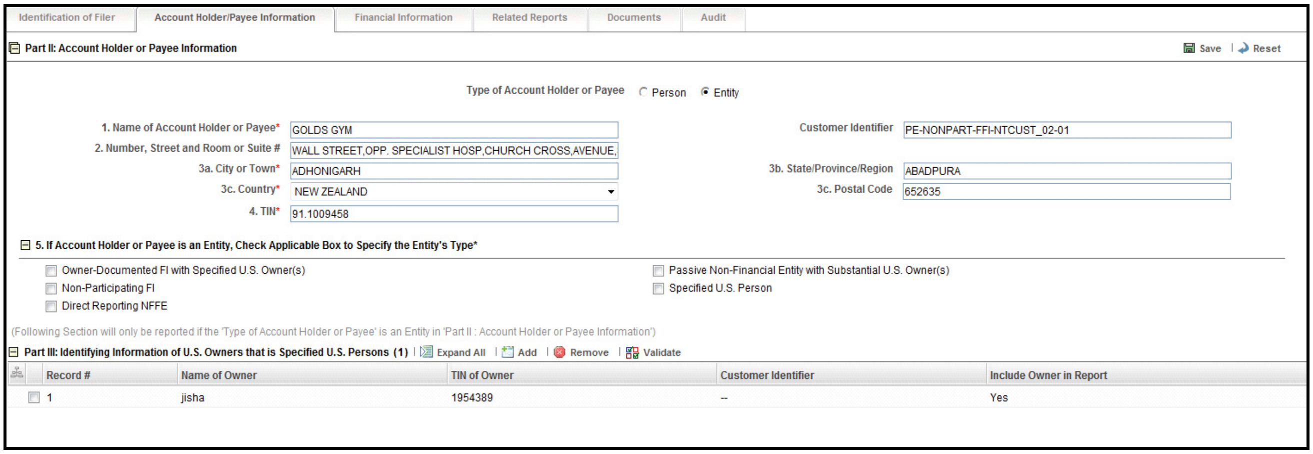
This section provides details about the account holder or payee.

An Account Holder/Payee can be classified into two types namely, Person and Entity.

You must select the Account Holder type as *Person* when the reported account holder or payee is an individual, and *Entity* when the reported account holder or payee involved is an organization or a financial institution.

If the Type of Account Holder or Payee is entity in the Account Holder/Payee Information Tab and if you have not checked any box in the field "If Account Holder or Payee is an Entity, check applicable box to specify the Entity's type" and try to save it, the application displays the following message: *Type of Account Holder or Payee has been marked as an entity. It is required specify the Entity's Type in field "If Account Holder or Payee is an Entity, check applicable box to specify the Entity's type".*

If the Name of Account Holder or Payee, City or Town, Country, and TIN are missing from the Account Holder/Payee Information tab, and when you click Save, the application displays the following message: *Name of Account Holder or Payee, City or Town, Country and TIN are mandatory.*



Part II: Account Holder or Payee Information

Type of Account Holder or Payee ○ Person ● Entity

1. Name of Account Holder or Payee* GOLDS GYM
2. Number, Street and Room or Suite # WALL STREET,OPP. SPECIALIST HOSP,CHURCH CROSS,AVENUE,
3a. City or Town* ADHONIGARH
3c. Country* NEW ZEALAND
4. TIN* 91.1009458
Customer Identifier PE-NONPART-FFI-NTCUST_02-01
3b. State/Province/Region ABADPURA
3c. Postal Code 652635

5. If Account Holder or Payee is an Entity, Check Applicable Box to Specify the Entity's Type*

☐ Owner-Documented FI with Specified U.S. Owner(s)
☐ Non-Participating FI
☐ Direct Reporting NFFE
☐ Passive Non-Financial Entity with Substantial U.S. Owner(s)
☐ Specified U.S. Person

(Following Section will only be reported if the 'Type of Account Holder or Payee' is an Entity in 'Part II : Account Holder or Payee Information')

Part III: Identifying Information of U.S. Owners that is Specified U.S. Persons (1)

	Record #	Name of Owner	TIN of Owner	Customer Identifier	Include Owner in Report
☐	1	jisha	1954389	--	Yes

Figure 20. Account Holder/Payee Information Tab

The following table displays the details you must enter in the Account Holder or Payee Information section:

Table 10. Fields in Account Holder or Payee Information

Fields	Description
Name of Account Holder or Payee	Enter the name of the primary account holder of the reported account. This field allows you to enter a maximum of 120 characters.
Customer Identifier	Enter the Customer Identifier of the primary account holder of the reported account. This field allows you to enter a maximum of 120 characters.
Number, Street and Room or Suite #	Enter the address of the primary account holder of the reported account. This field allows you to enter a maximum of 255 characters.
City or Town	Enter the city of the primary account holder of the Reported account. This field allows you to enter a maximum of 50 characters.
State/Province/Region	Enter the state of the primary account holder of the reported account. This field allows you to enter a maximum of 50 characters.
Country	Enter the country of the primary account holder of the reported account. This field allows you to enter a maximum of 50 characters.
Postal Code	Displays the postal code of the primary account holder of the reported account. This field allows you to enter a maximum of 50 characters.
TIN	Displays the TIN information of the account holder.
If Account Holder or Payee is an Entity, Check Applicable Box to Specify the Entity's Type:	Check any of the following options based on the FATCA report status: ● Owner-Documented FI with Specified US Owner(s) ● Passive Non-Financial Entity with Substantial US Owner(s) ● Non-Participating FI ● Specified US Person ● Direct Reporting NFFE

To save the details in Account Holder or Payee Information section, follow these steps:

1. Enter the required information in the fields in Account Holder or Payee Information section.
2. Click **Save**. The following message is displayed: *Update Operation Successful.*
3. Click **OK**. The saved details are displayed in Account Holder or Payee Information section.

Part III: Identifying Information of US Owners that are Specified US Persons grid

The Part III: Identifying Information of US Owners that are specified US Persons grid displays details about the individual account owner information as specified. Users are allowed to add US owners irrespective of the account type. The final report does not include the US Owner details, when the account type is Person. It is included only if the account type is Entity.

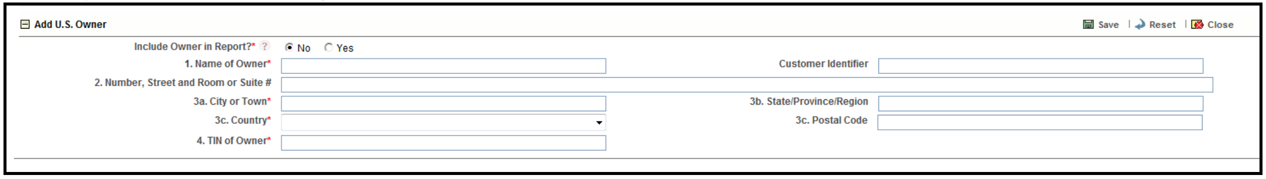
Part III: Identifying Information of US Owners that are specified US Person information is displayed only if the Type of Account Holder or Payee is *Entity*.

If there is no record with *Include Owner in Report* as *Yes* in grid and when you click on Save, the application displays the following message: *You need to specify one Owner with "Include Owner in Report?" as "Yes" in Account Holder/Payee Information tab.*

Adding Part III US Owners

To add US Owners, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Account Holder/Payee Information** tab.
3. Click **Add** in the Part III: Identifying Information of US Owners that is Specified US Persons grid.
4. The Add US Owner section expand below the Part III: Identifying Information of US Owners that is Specified US Persons grid.



Include Owner in Report?* ● No ○ Yes

Figure 21. Adding U.S Owner Details

5. Enter the required information.

   Note: If you click on Request for Approval/Approve, and if required mandatory fields such as Name of Account Holder or Payee, City or Town, Country, TIN, Name of Owner, TIN of Owner are missing in Account Holder/Payee Information tab, the application displays the following message: *Required mandatory information is missing on Account Holder/Payee Information tab.*

The following table explains the fields in Add US Owner section

Table 11. Fields in Add US Owner Section

Fields	Description
Include Owner in Report	Select the Yes or No Radio Button to indicate whether the owner of the account must be reported in the report. **Note:** Only one owner can be included in the report. By default, No is selected.
Name of Owner	Enter the name of Owner of the reported account. This field allows you to enter a maximum of 120 characters.
Customer Identifier	Enter the Customer Identifier of the owner of the reported account. This field allows you to enter a maximum of 120 characters.
Number, Street and Room or Suite #	Enter the address of the owner of the reported account. This field allows you to enter a maximum of 255 characters.
City or Town	Enter the city of the owner of the reported account if the account is of entity type. This field allows you to enter a maximum of 50 characters.
State/Province/Region	Enter the state of the owner of the reported account if the account is of entity. This field allows you to enter a maximum of 50 characters.
Country	Select the country of the owner of the reported account if the account is of entity. This field allows you to enter a maximum of 50 characters.
Postal Code	Enter the postal code of the reported account if the account is of entity type. This field allows you to enter a maximum of 50 characters.
TIN of Owner	Enter the TIN of the owner of the reported account if the account is of entity type.This field allows you to enter a maximum of 50 characters.

6. Click **Save**. The following message is displayed: *Add Operation Successful*.
7. Click **OK**. The entered details are saved and is displayed in the Part III: Identifying Information of US Owners that is Specified US Persons grid.

Editing US Owner Details

To edit US Owner details, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Account Holder or Payee Information** tab.

   This list of US Owners associated with the report are displayed in the Part III: Identifying Information of U.S Owners that is Specified US Persons grid.
3. Select the check box at the beginning of a record row or click anywhere in the row. The details are displayed in the *US Owner* Details section.
4. Modify the required details.

   Note: If you try to change *Include Owner in Report* as *Yes* when another Owner is already noted as "Yes" and try to save it, the application displays the following message: *Only one Owner can be reported on this form. Changing the Owner to be included in the report will set previously selected Owner to "No". Click OK to continue or Cancel to abort.*
5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The modified details are saved.

Removing US Owner

To remove owner details, follow these steps:

1. Navigate to the Report Details page.
2. Click the Account Holder or Payee Information tab.

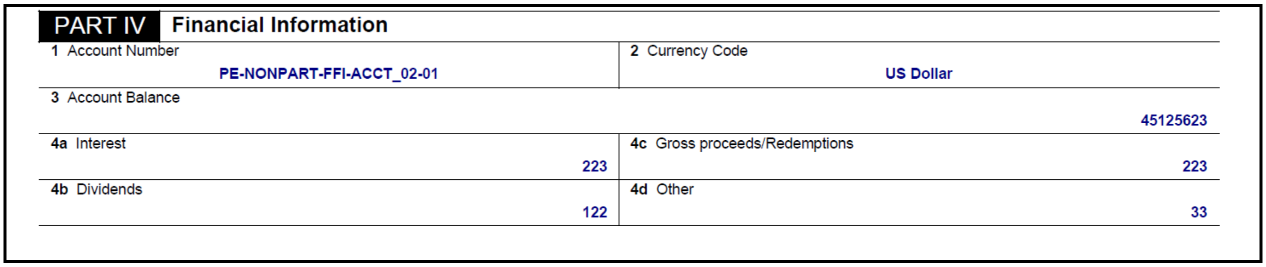
   This list of US Owners associated with the report are displayed in the Part III: Identifying Information of US Owners that is Specified US Persons grid.
3. Select the check box at the beginning of the record or click anywhere in the row.
4. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Record Removed Successfully.*
6. Click **OK**. The owner record is removed from the Part III: Identifying Information of US Owners that is Specified US Persons grid.

   Note: If you have added, edited or deleted owner details, a corresponding audit entry is tracked in the Audit tab. For more information, refer to *Viewing Audit Information*.

Note: If the Name of Owner, City or Town, Country and TIN of Owner are missing from the Account Holder/Payee Information tab and when you click on Save, the application displays the following message: *Name of Owner, City or Town, Country and TIN of Owner are mandatory.*

Managing Financial Information Tab

This tab refers to the **PART IV Financial Information** section in the FATCA report.

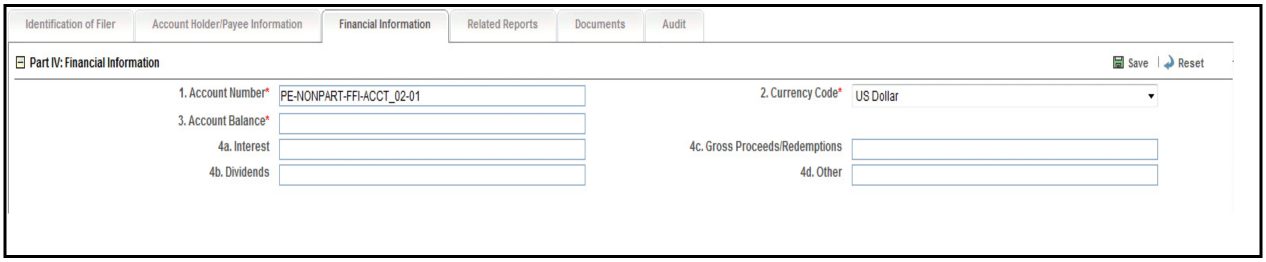


PART IV **Financial Information**

1 Account Number PE-NONPART-FFI-ACCT_02-01	2 Currency Code US Dollar
3 Account Balance 45125623	
4a Interest 223	4c Gross proceeds/Redemptions 223
4b Dividends 122	4d Other 33

Figure 22. Financial Information in Final Report

This tab provides details such as account balance and account payables of the reported account.



Part IV: Financial Information

1. Account Number* PE-NONPART-FFI-ACCT_02-01
2. Currency Code* US Dollar
3. Account Balance*
4a. Interest
4c. Gross Proceeds/Redemptions
4b. Dividends
4d. Other

Figure 23. Financial Information Tab

The following table explains the fields in Financial Information tab.

Table 12. Fields in Financial Information Tab

Fields	Description
Account Number	Enter the account number of the reported account.
Currency Code	Enter the currency code of the reported account.
Account Balance	Enter the account balance of the reported account.
Interest	Enter any interest payments received by the reported account.
Gross Proceeds/Redemptions	Enter any gross proceeds/redemptions received by the reported account.
Dividends	Enter any dividend payments received by the reported account.
Other	Enter any other payments received by the reported account.

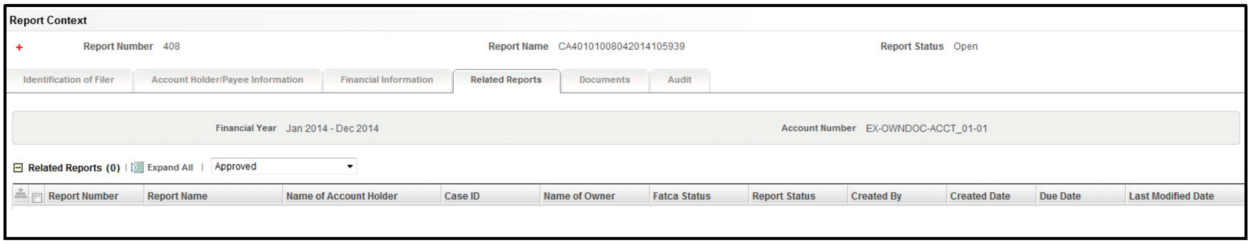
To save the information in this tab, enter the required information, and click **Save** or click **Reset** to revert to the last saved values.

Note: If the Account Number, Currency Code and Account Balance are missing from the Financial Information Tab and when you click Save, the application displays the following message*: Account Number, Currency Code and Account Balance are mandatory.*

If you click on **Request for Approval** or **Approve** while the required mandatory fields such as Account Number, Currency Code, and Account Balance are missing in Financial Information tab, the application displays the following message: *Required mandatory information is missing on Financial Information tab.*

Managing Related Reports Tab

This tab displays all the related reports associated to the main report.


Report Context
Identification of Filer
Account Holder/Payee Information
Financial Information
Related Reports
Documents
Audit
Related Reports (0)
Expand All
Report Number
Report Name
Name of Account Holder
Case ID
Name of Owner
Fatca Status
Report Status
Created By
Created Date
Due Date
Last Modified Date

Report Number 408
Report Name CA40101008042014105939
Report Status Open
Financial Year Jan 2014 - Dec 2014
Account Number EX-OWNDOC-ACCT_01-01
Approved

Figure 24. Related Reports Tab

Related Reports are identified based on Account Number. A related report is defined as a report that is created for the same account as the reported account specified in Part IV Financial Information section of the Financial Information tab.

This tab displays two fields, namely, Financial year and Account number. The Related reports grid displays reports with the same account number for the Financial Year configured. For more information on configuring financial year, refer *to the FATCA RR Administration and Configuration Guide*.

The related reports grid allows you to select reports based on report status. The reports in the Related Reports grid are arranged in ascending order of the created date.

Note: The Related Reports grid allows users mapped to the role of Supervisor to select multiple reports and take Cancel Filing action when the reports are in *Submitted* status, and are not locked by any other user. The Cancel Filing button is hidden in View mode.

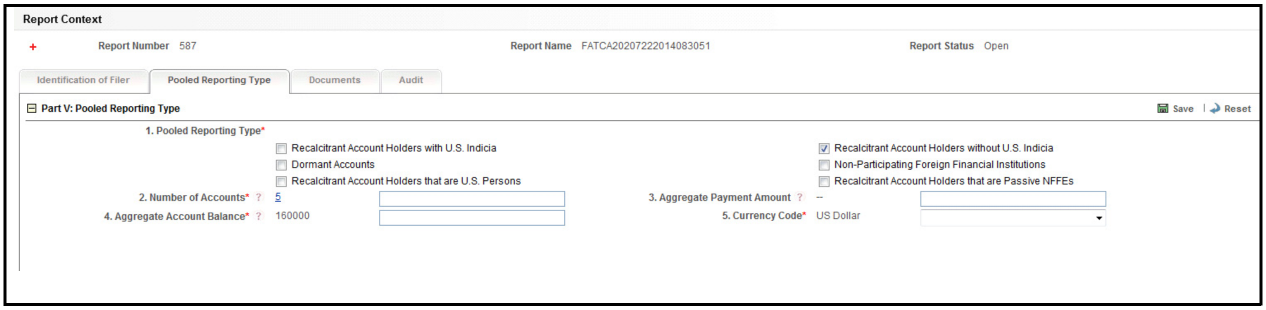
The following table displays the columns in the Related Reports grid.

Table 13. Fields in Related Reports Grid

Column Name	Description
Report Number	Displays report number of the related report.
Report Name	Displays report name of the related report.
Name of Account Holder	Displays the name of the account owner of the related report.
Case ID	Displays the case ID of the related report.
Name of Owner	Displays the account owner of the related report.
FATCA Status	Displays the FATCA status of the related report.
Report Status	Displays the status of the report.
Created By	Displays the user who has created the report.
Created Date	Displays the date on which the report was created.
Due Date	Displays the due date of the related report.
Last Modified Date	Displays the last modified date of the related report.

Managing Pooled Reporting Tab

This tab is displayed only for pooled reports. This tab displays all the details of the accounts involved in creating pooled reports.



Report Number 587
Report Name FATCA20207222014083051
Report Status Open

Part V: Pooled Reporting Type

1. Pooled Reporting Type*
☐ Recalcitrant Account Holders with U.S. Indicia
☐ Dormant Accounts
☐ Recalcitrant Account Holders that are U.S. Persons
☑ Recalcitrant Account Holders without U.S. Indicia
☐ Non-Participating Foreign Financial Institutions
☐ Recalcitrant Account Holders that are Passive NFFEs

2. Number of Accounts* 5
3. Aggregate Payment Amount --
4. Aggregate Account Balance* 160000
5. Currency Code* US Dollar

Figure 25. Pooled Reporting Tab

This tab displays the following sections:

- Pooled Reporting Type
- Accounts Included in Report

Pooled Reporting Type

The Pooled Reporting Type section displays the following fields:

Table 14. Fields in Pooled Reporting Grid

Field Name	Description
Pooled Reporting Type	Select any of the following pooled reporting classification type: ● Recalcitrant Account Holders without US Indicia ● Recalcitrant Account Holders without US Indicia ● Dormant Accounts ● Non-participating Foreign Financial Institutions ● Recalcitrant Account Holders that are US Persons ● Recalcitrant Account Holders that are Passive NFFEs **Note**: If Pooled Reporting Type, Number of Accounts, Aggregate Account Balance and Currency Code are missing from the Pooled Reporting Type Tab and if you click save, the application displays the following message*: Pooled Reporting Type, Number of Accounts, Aggregate Account Balance and Currency Code are mandatory.*
Number of Accounts	Displays the number of accounts included in pooled reports. This field displays two text boxes. The first text box field is non-editable and displays the system calculated value for number of accounts and the second text box is an editable field allowing you to enter and save your values. **Note**: The edited value will be given first priority while pushing data into the final report. The value for this field will be hyperlinked. On click of the hyperlink Account Details Grid will be shown. For more information on fields in Account Details grid, refer

Table 14. Fields in Pooled Reporting Grid

Field Name	Description
Aggregate Payment Amount	Displays the aggregate payments to the accounts included in pooled reports. This field displays two text boxes. The first text box field is non-editable and displays the system calculated value for the total payment amount and the second text box is an editable field allowing you to enter and save your values. **Note**: The edited value will be given first priority while pushing data into the final report.
Aggregate Account Balance	Displays the aggregate account balance of the accounts included in pooled reports. This field displays two text boxes. The first text box field is non-editable and displays the system calculated value for aggregate account balance and the second text box is an editable field allowing you to enter and save your values. **Note**: The edited value will be given first priority while pushing data into the final report.
Currency Code	Displays the currency code of the accounts included in pooled reports. This field displays two text boxes. The first text box field is non-editable and displays the system calculated value for currency code and the second text box is an editable field allowing you to enter and save your values. **Note**: The edited value will be given first priority while pushing data into the final report.

Accounts Included in Report

Click on the number of accounts hyperlink to view the accounts involved in pooled reporting.

This grid displays the following columns:

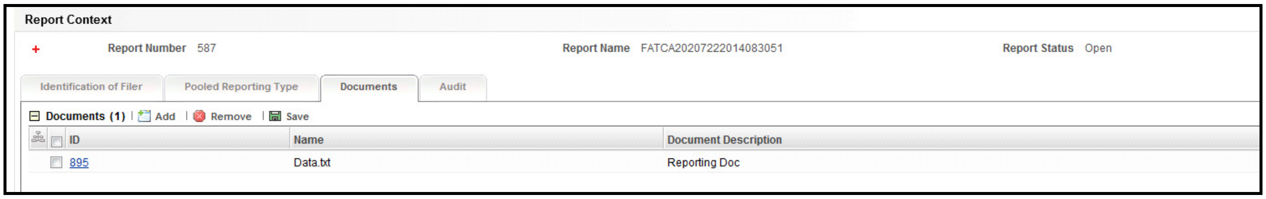
Table 15. Fields in Accounts Included in Report Grid

Field Name	Description
Account Number	Displays the account number of the account included in pooled reports.
FATCA Status	Displays the account status of the bank account included in pooled report.
Account Status	Displays the status of the account.
Overall Indicia	Displays the overall indicia of the account.
Account Balance	Displays the account balance.
Currency Code	Displays the currency code of the account.

If required mandatory fields such as Pooled Reporting Type, Number of Accounts, Aggregate Account Balance, and Currency Code are missing in Pooled Reporting Type tab, the application displays the following message: *Required mandatory information is missing on Pooled Reporting Type tab.*

Managing Documents Tab

The Documents tab allows you to attach and remove documents related to the FATCA report. While filing the FATCA report with the IRS, you can also send additional documents. The process of sending additional documents to the regulatory authorities occurs outside of the application.



Report Context
Identification of Filer
Pooled Reporting Type
Documents
Audit
Documents (1)
Add
Remove
Save

Report Number 587

Report Name FATCA20207222014083051

Report Status Open

ID	Name	Document Description
☐ 895	Data.txt	Reporting Doc

Figure 26. Documents Tab

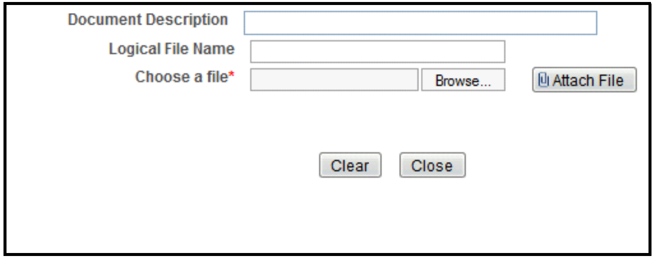
Sending the documents to IRS is the responsibility of the user and out of scope of the application.

Attaching Documents

Users mapped to the role of an Analyst, Reviewer, or Supervisor can attach and delete documents in all statuses except when the report is in *View Only* mode.

To attach a document, follow these steps:

1. Navigate to the Report Details page.
2. Click **Documents**. The Documents section is displayed.
3. Click **Add**. The Add Document window is displayed.



Document Description
Logical File Name
Choose a file*
Browse...
Attach File
Clear
Close

Figure 27. Adding Documents to FATCA Report

4. Enter the **Document Description** and the **Logical File Name**.

   Note: The application allows you to enter a a maximum of 255 characters in the Document Description field.
5. Click **Browse** to choose a file from your machine.
6. Click **Attach File**. The following message is displayed: *Add Operation Successful.*
7. Click **OK**. The file is attached and you are navigated back to the Add Document window.

   Click **Close** to navigate back the Report Details page or attach additional documents.

Editing the Logical File Name and Document Description of an Added Document

The Reports Details page allows you to edit the logical file name and the document description of the document.

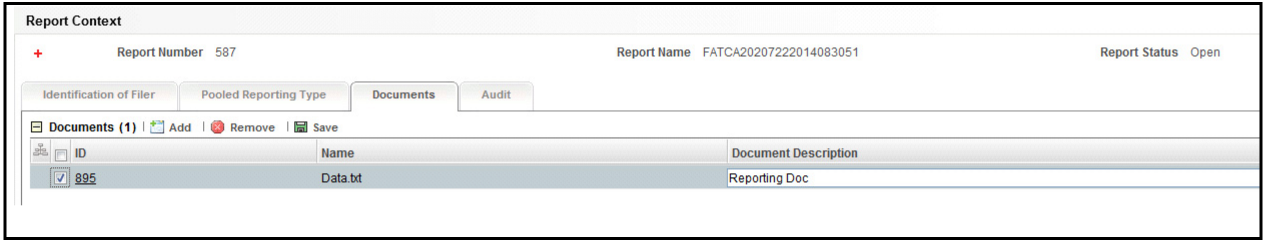
Note: If the logical file name is provided then the application considers the document name as the logical file name.

To edit the logical file name and the document description, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Documents** tab.

   The list of added documents associated to the report is displayed in the Documents grid.
3. Select the check box at the beginning of the Document row or click anywhere in the row.

   The document record changes into editable mode.



Report Number 587

Report Name FATCA20207222014083051

Report Status Open

ID	Name	Document Description
895	Data.txt	Reporting Doc

Figure 28. Editing the Logical File Name and Document Description of an Added Document

4. Edit the Logical File Name or the Document Description.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The document is updated in the Documents section.

Removing Documents

The Report Details page also allows you to remove the documents attached to a report.

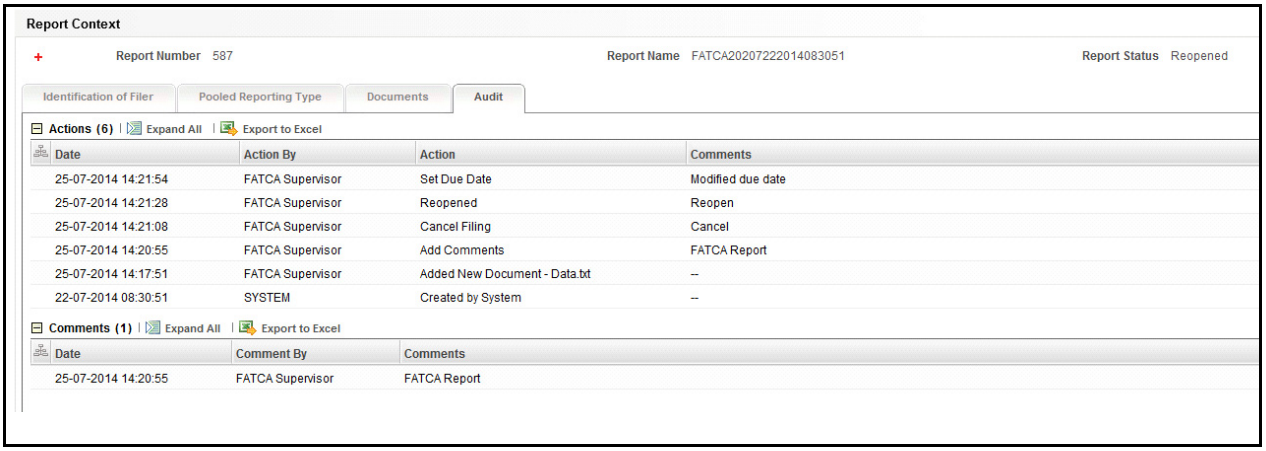
To remove the documents attached, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Documents** tab.

   The list of documents associated to the report is displayed in the Documents section.
3. Select the check box of the document you want to delete.
4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record.*
5. Click **OK**. The following message is displayed: *Record removed successfully.*
6. Click **OK**. The document is removed and you are navigated back to the Report Details page.

Viewing Audit Information

The Audit tab displays actions taken on the report. This tab contains the Actions and the Comments section.



Report Number 587

Report Name FATCA20207222014083051

Report Status Reopened

Actions (6)

Date	Action By	Action	Comments
25-07-2014 14:21:54	FATCA Supervisor	Set Due Date	Modified due date
25-07-2014 14:21:28	FATCA Supervisor	Reopened	Reopen
25-07-2014 14:21:08	FATCA Supervisor	Cancel Filing	Cancel
25-07-2014 14:20:55	FATCA Supervisor	Add Comments	FATCA Report
25-07-2014 14:17:51	FATCA Supervisor	Added New Document - Data.txt	--
22-07-2014 08:30:51	SYSTEM	Created by System	--

Comments (1)

Date	Comment By	Comments
25-07-2014 14:20:55	FATCA Supervisor	FATCA Report

Figure 29. Audit Tab

The Audit tab displays the following sections:

- Actions
- Comments

Actions

The Actions section displays all the actions taken on the regulatory report. This section displays the following fields:

Table 16. Actions Section Field Descriptions

Fields	Description
Date	Displays the date on which the action was taken.
Action By	Displays the name of the user who performed the action.

Table 16. Actions Section Field Descriptions

Fields	Description
Actions	Displays a short description of the action. The application captures the following actions in the Audit tab: ● Created from case ● Created by System ● Created manually ● Modified Identification of Filer ● Modified Account US Holder/Payee Information ● Added New US Owner – Name of the added US Owner ● Removed US Owner – Name of the deleted US Owner ● Modified US Owner Details – Name of the edited US Owner ● Modified Financial Information ● Modified Pooled Reporting Type ● Added New Document – Name of the added document ● Modified Document – Name of the Modified document ● Removed Document – Name of the Removed document
Comments	Displays the comments entered by the user while performing an action.

Comments

The Comments section displays the comments entered while performing the **Add Comments** action. The Comments section displays the following fields:

Table 17. Comments Section Field Descriptions

Fields	Description
Date	Displays the date on which the comment was recorded.
Comment By	Displays the name of the user who has given that comment.
Comments	Displays the comments added to the report by the user.

Note: You can export the list of actions and comments to an Excel format using the **Export to Excel** option. Refer to *Exporting the Report Details to Excel* for more information.

Taking Actions on FATCA Reports

The Report Details page allows authorized users to take the following actions on the report.

- Requesting the Report Details for Approval
- Approving Reports
- Sending Reports For Rework
- Cancel Filing of Reports
- Reopening Reports
- Marking Reports as Submitted

Requesting the Report Details for Approval

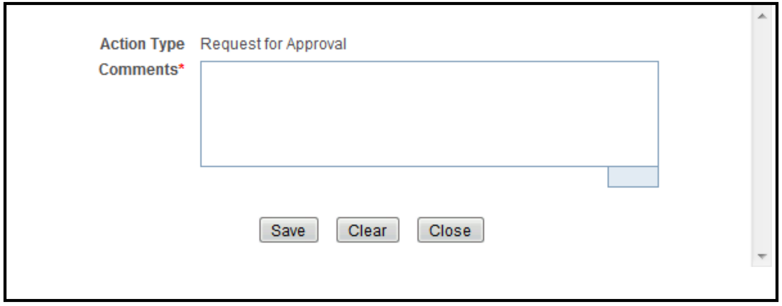
After updating the report details, they must be validated. The Report Details page allows authorized users to validate the report details and then submit the report for approval. When the user submits the report for approval, it is validated if the mandatory fields within the report have been populated. When a report is requested for approval, the status of the report changes to *Requested for Approval*.

A Supervisor user can review the report submitted for approval by an analyst and can either approve report or send reports for rework, or cancel filing of report.

For more information, refer to *Table 2*.

To submit a report for approval, an analyst must follow these steps:

1. Navigate to the Reports Details page of a report in *Open /Reopen status*.
2. Click **Request for Approval**.



Action Type: Request for Approval

Figure 30. Request for Approval Window

3. Enter the comments in the Request for Approval window.

   Note: The comments box in the Request for Approval window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following error message is displayed: *Number of characters exceeded*.

   If you click Save without entering the comments in the Request for Approval window, the following error message is displayed: *Mandatory fields are not entered*.

4. Click **Save.** The following message is displayed: *Update Operation Successful*.
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Requested for Approval*.

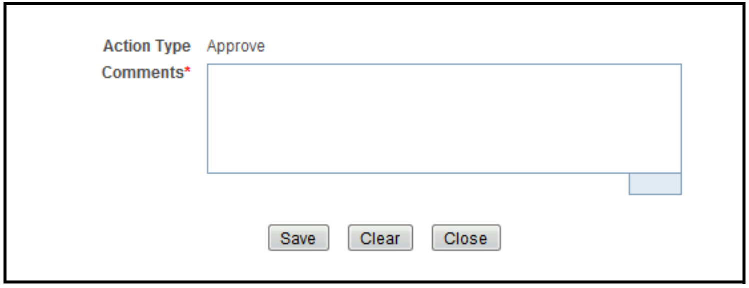
The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Request for Approval** action.

Approving Reports

Authorized users can approve a report when it is in *Open*, *Reopened*, *Requested for Approval* status. For more information, refer to *Table 2*.

To approve a report, follow these steps:

1. Navigate to the Report Details page of a report in *Open*, *Reopened*, *Requested for Approval* status.
2. Click **Approve**.



Action Type Approve

Comments*

Figure 31. Approve Window

3. Enter the comments in the **Approve** window.

   Note: The comments box in the **Approve** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded*.

   If you click **Save** without entering the comments in the Approve Action window, the following message is displayed: *Mandatory fields are not entered.*

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Approved.*

   The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Approve** action.

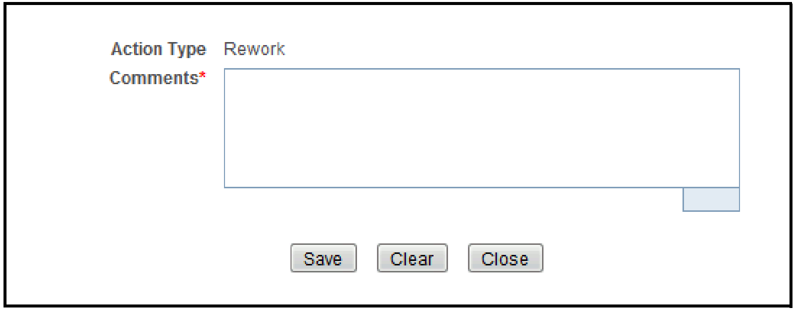
Sending Reports For Rework

A Supervisor can send reports for rework for incomplete, inaccurate information in the report, or for additional investigation. The Report Details page allows a Supervisor to take Rework action on reports.

If a report is sent for rework, the Analyst must rework on the report and request the report again for approval. This process continues until the report is approved or canceled.

To send a report to rework, follow these steps:

1. Navigate to the Report Details page of a report in *Requested for Approval* status.
2. Click **Rework**. The Rework window is displayed.



Action Type Rework

Comments*

Figure 32. Rework Window

3. Enter the comments in the **Rework** window.

   Note: The comments box in the Rework window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save**, without entering the comments in the Rework window, the following message is displayed: *Mandatory fields are not entered.*

4. Click **Save** The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Rework*.

   The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Rework** action.

Cancel Filing of Reports

If a user determine that a report should not be filed they can cancel it.

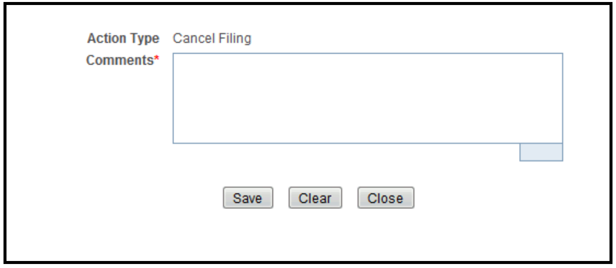
The Report Details page allows authorized users to cancel the reports from being filed. For more information on users who can cancel filing, refer to *Table 2*.

Once the report is canceled, you cannot edit the report details and the report changes into *View Only* mode.

Note: A canceled report can be reopened by authorized users.

To cancel the filing of a report, follow these steps:

1. Navigate to the Report Details page.
2. Click **Cancel Filing**. The Cancel window is displayed.



Action Type Cancel Filing

Figure 33. Cancel Filing Window

3. Enter the comments in the **Cancel Filing** window.

   Note: The comments box in the Cancel window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the comments in the Cancel window, the following message is displayed: *Mandatory fields are not entered.*

4. Click **Save.** The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *canceled*. The due date of the report is deleted on taking canceled action

   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Cancel** action.

   If you try to perform Cancel Filing action on reports that are in Submitted status, the application displays the following message: *Cancel Filing action cannot be taken on Submitted and canceled reports. Please deselect those reports and try again.*

Reopening Reports

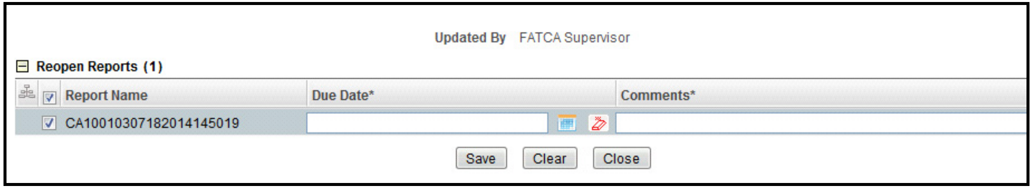
The Search And List page and the Report Details page allows authorized users to initiate reopen action on a report. For more information, refer to *Table 2*.

To reopen a report from Search and List page, follow these steps:

1. Navigate to the Search and List page.
2. Select the check box of the report(s) you want to reopen.

   Note: You can select multiple reports from the Search and List page and collectively reopen them. If you try to perform the reopen action on reports that are not in canceled or Submitted status, the application displays the following message: *Reopen action can only be taken on canceled and Submitted reports.*

3. Click **Reopen**. The Reopen window is displayed.
4. Enter your comments in the Reopen reports window.


Updated By FATCA Supervisor

⊟ Reopen Reports (1)

☑	Report Name	Due Date*	Comments*
☑	CA10010307182014145019		

Figure 34. Reopen Window

   Note: The comments box in the Reopen report window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click Save without entering the comments in the Reopen report window, the following error message is displayed: *Mandatory fields are not entered.*

   If you are mapped to Edit due Date role and if you try to save the Reopen action without entering due date, the application displays the following message: *Due Date is mandatory.*

5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The Search and List page is displayed and the status of the report changes to *Reopen*.

To reopen a report from Report Details page, follow these steps:

1. Navigate to the Report Details page of a report in *canceled/Submitted* status.
2. Click **Reopen**. The Reopen window is displayed.

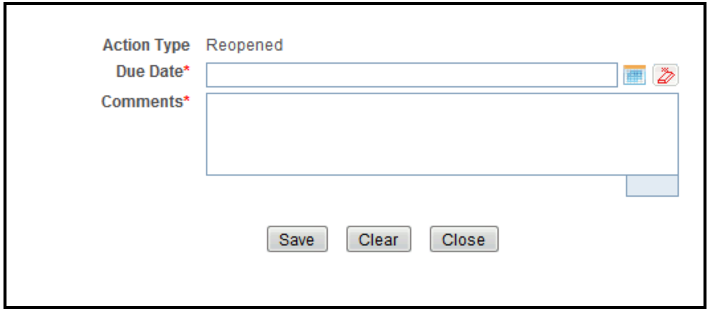

Action Type Reopened

Figure 35. Reopen Window

3. Set the due date and enter the comments in the **Reopen** pop-up window.

   Note: The comments box in the **Reopen** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded*.

   If you click **Save** without entering the comments in the Reopen window, the following error message is displayed: *Mandatory fields are not entered*.

4. Click **Save.** The following message is displayed: *Update Operation Successful*.

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Reopen*ed.

   The Actions section in the Audit tab tracks both the **Actions** and the **Comments** entered while performing the Reopen action.

Marking Reports as Submitted

For tracking and reporting purposes, the application allows you to mark the reports that are filed with the regulatory authorities as **Submitted** once the report has been sent to the regulatory authorities, or whenever is defined as appropriate per your institution's business practices.

Authorized users can mark the reports submitted to the regulatory authorities as Submitted. This action can be performed only when the report is in *Approved* status.

If you try to perform submitted action on reports that are not in Approved status, the application displays the following message: *Submitted action can only be taken on Approved reports*.

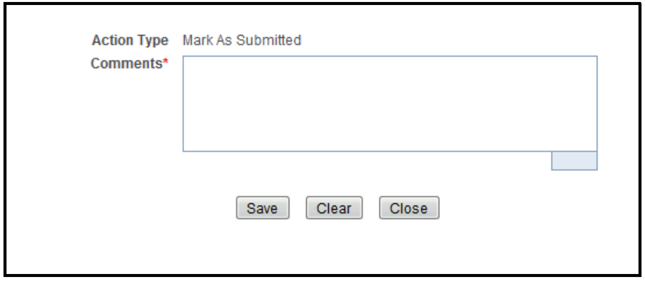
For more information on user roles, refer to *Table 2*.

The Report Details page allows authorized users to mark the reports as submitted.

To mark a report as submitted from the Report Details page, follow these steps:

1. Navigate to the Report Details page of a report in *Approved* status.

2. Click **Submit**. The **Submit Window** is displayed.



Action Type: Mark As Submitted

Figure 36. Submit Window

3. Enter the comments in the **Submit** window.

   Note: The comments box in the Submit window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded*.

   If you click **Save** without entering the comments in the Submit window, the following error message is displayed: *Mandatory fields are not entered*.

4. Click **Save.** The following message is displayed: *Update Operation Successful*.

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Submitted*.

   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Submit** action.

Setting Due Date For Reports

Users mapped to the role of Analyst and Supervisor can set due date for reports.

Authorized users can modify due date based on the configurability as mentioned in the following table:

Table 18. Due Date Attributes

Attribute	Behavior
Due Date with Edit	Users mapped with this role can set/edit/view due date This is the default mode for all users.
Due date with View	User mapped to this role can view due date but cannot edit due date.

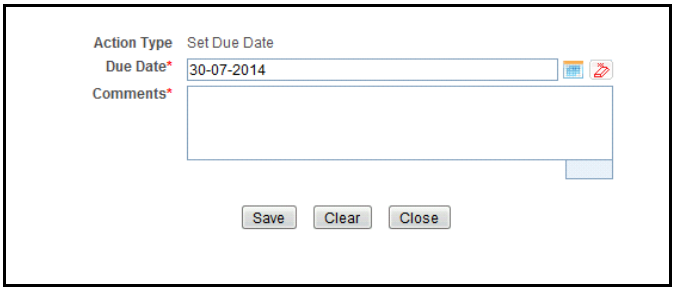
The following table explains the various statuses where the users can perform the Set Due Date action:

Table 19. Setting Due Date

Set Due Date Action as per Report Status	Analyst	Supervisor
Open	X	X
Reopened	X	X
Requested for Approval	X	X
Rework	X	X
Approved	X	X

To set the due date of a FATCA Report from the Report Details page, follow these steps:

1. Navigate to the Report Details page of a report.
2. Click **Set Due Date**. The Set Due Date Action window is displayed.



Action Type Set Due Date
Due Date* 30-07-2014
Comments*

Figure 37. Set Due Date Window

3. To set a due date, select a date from the calender icon.

   Note: This field is a mandatory field.

4. Enter the comments in the **Set Due Date** window.

   Note: The comments box in the **Set Due Date** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded*.

   If you click **Save** without entering the Set Due Date and Comments, in the **Set Due Date** Action pop-up window, the following message is displayed: *Mandatory fields are not entered.*

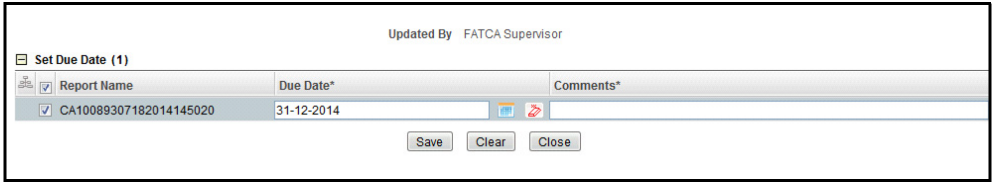
5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The Report Details page is displayed.

   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Set Due Date** action.

   If you select some reports which are in Submitted or canceled state and try to set due date for the selected reports, the application displays the following message: *Due date cannot be set on reports in Submitted and canceled status. Please deselect those reports and try again.*

To set the due date of a FATCA report from the Search and List page, follow these steps:

1. Navigate to Search and List page.
2. Select the check box of the report you want to set the due date for.
3. Click **Set Due Date** in the Action bar. The Set Due Date window is displayed.



Updated By FATCA Supervisor

⊟ Set Due Date (1)

☑	Report Name	Due Date*	Comments*
☑	CA10089307182014145020	31-12-2014	

Figure 38. Set Due Date from Search and List Page

Note: If the selected report already has a due date set, then the existing due date can be edited.

4. To set a due date, select a date from the calender icon.

   Note: This field is a mandatory field.

   If you enter a due date which is less than the current date, the application displays the following message: *Please enter a due date which is equal to or greater than sysdate.*

5. Enter the comments in the **Set Due Date** window.

   Note: The comments box in the **Set Due Date** action pop-up window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the Set Due Date and Comments, in the **Set Due Date** Action window, the following message is displayed: *Mandatory fields are not entered.*

6. Click **Save**. The following message is displayed: *Update Operation Successful.*
7. Click **OK**. The Search and List page is displayed.

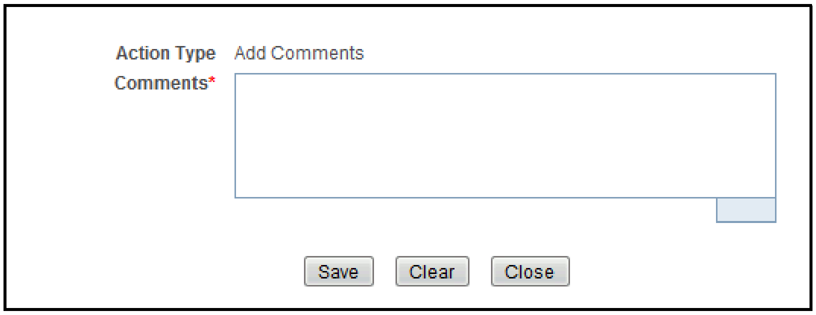
   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Set Due Date** action.

Adding Comments to Report

The Report Details page allows you to add comments to a report. You can add comments to a report in any status.

To add comments to a report, follow these steps:

1. Navigate to the Report Details page of a report.
2. Click **Add Comments**. The Add Comments Action window is displayed.



Action Type Add Comments

Figure 39. Add Comments Action Window

3. Enter the comments in the Action window.

   The comments box in the Action window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following error message is displayed: *Number of characters exceeded.*

   If you click **Save**, without entering the comments in the Action pop-up window, the following error message is displayed*: Mandatory fields are not entered.*

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Action window closes and displays the Report Details page.

   Note: The **Actions** and the **Comments** section in the Audit tab tracks both the actions and the comments entered while performing the **Add Comments** action.

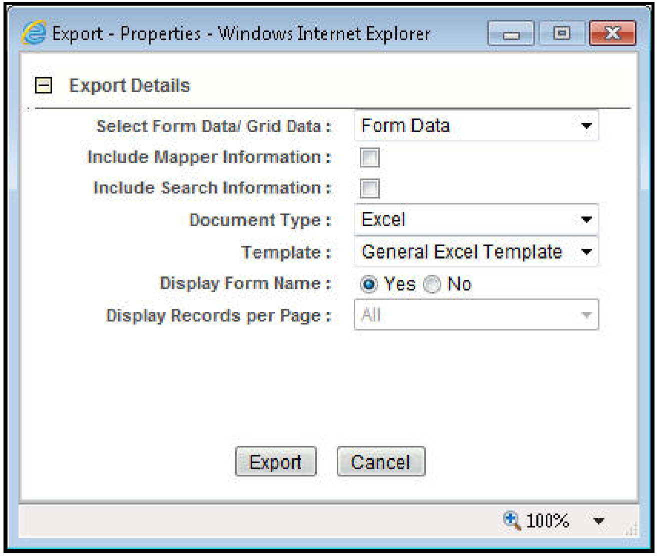
Exporting the Report Details to Excel

The Search and List page allows you to export the report list into an Excel template.

To export the report details into an Excel template, follow these steps:

1. Navigate to the Search and List page.
2. Click **Export to Excel**. The Export Properties dialog box is displayed.

   All the reports in the Search and List page are exported into an Excel template. You cannot export individual reports into Excel.
3. Set Document Type as **Excel** and select Form Data/Grid Data as **Grid** Data.



Export - Properties - Windows Internet Explorer

Export Details

Select Form Data/ Grid Data : Form Data

Include Mapper Information : ☐

Include Search Information : ☐

Document Type : Excel

Template : General Excel Template

Display Form Name : ● Yes ○ No

Display Records per Page : All

Figure 40. Export Properties Dialog Box

4. Click **Export** in the Export Properties dialog box.

   When processing is complete, the data is displayed in an IE window with a dialog box.
5. Click **Save** from the dialog box. The Save As dialog box is displayed.
6. Select a directory location where you want to save the file.
7. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.
8. Click **Save**.

   The application saves your file to the specified location.

   Note: Open the file in Microsoft Excel to edit as needed.